



Appendix B – County Proposed Statement of Work



**San Luis Obispo County
Health Agency, Behavioral Health Department
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Introduction

This Statement of Work (SOW) describes the project objectives for the San Luis Obispo County Behavioral Health Electronic Health Record project (BHEHR) and specifies all task and activities for both installation and support. Functional and technical requirements are not directly addressed in this SOW.

Project Objective

The County is looking to improve delivery of its behavioral health services and the efficiency of associated business and financial processes through improved information technology. The San Luis Obispo County Health Agency (hereafter “County”) is procuring a commercial off-the-shelf (COTS) electronic health record (EHR) system to support practice management and provide an electronic health record for clients. The County is contracting for goods and services with a vendor (hereafter “Vendor”) that will provide, install, configure, integrate, and test a software application that will meet the functional and technical requirements outlined in the system requirements matrix (Appendices C and E) with minimal modification. As part of the engagement, the County is seeking professional services for project management, any required system modification, data migration, training, maintenance and technical support.

Organization of the Statement of Work

This SOW is organized by tasks and subtasks to simplify understanding this project. There are a total of eleven tasks organized into functional groupings. ***Task 11 covers post-implementation support and maintenance of the Licensed Programs. This support service will be awarded as a separate contract.***

The groupings of related tasks are summarized below:

- *Project Management (Task 1)*
- *Establish System Environment (Task 2)*
- *Documentation (Task 3)*
- *Data Migration (Task 4)*
- *System Design and Configuration (Task 5)*
- *Training (Task 6)*
- *Testing (Task 7)*
- *System Modifications (Task 8)*
- *Interface Development (Task 9)*
- *System Cutover (Task 10)*
- *On-Going Software Maintenance, Enhancements, and Support (Task 11)*

Definitions

For the purposes of the County’s BHEHR RFP and this SOW, the following definitions are established.



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Configuration:

Configuration includes changes to the Vendor system based on the setting of parameters or table values within the system. “Configuration” involves no modification to the system code base. Configuration can include changes to the Vendor system using tools that are built-in or native to the Vendor system and that allow users to design custom/local forms, create workflows, develop reports, and utilize built-in APIs. Writing custom scripts would still be considered “Configuration” if the scripting tool is part of the native Vendor product and does not change the system code base.

Modification:

Modification includes all changes to the Vendor system that involve changes to the system source code. This would include development of new features or enhancements that were not formerly present in the Vendor’s product.

Acceptance:

Acceptance occurs when the County believes a defined contractual commitment has been met by the Vendor, meaning a deliverable has been submitted to the County in a form that is complete, accurate and of sufficient quality and meets the intended spirit of the contract. County ‘Acceptance’ of a deliverable must be in written form to be valid and is a prerequisite for payment.

1 Task 1: Project Management

This task allows the County to maintain oversight of the BHEHR project. It includes the planning necessary to manage the BHEHR project as well as the conduct of regular status reports and meetings to ensure the project is on schedule and meeting County objectives. The Vendor shall provide project management to the County through standard approaches, methodologies, and project plans as described below. This section also summarizes the deliverables, details the method for managing the production of the deliverables, and defines the acceptance process. These general requirements are included to ensure that each deliverable provided by the Vendor is acceptable to the County.

1.1 Subtask 1.1: Project Control Document

The Vendor shall develop a **Project Control Document (PCD) (Deliverable 1)**. Following County approval of the PCD, it shall be applied by the Vendor to manage, track, and evaluate the project performance.

This PCD shall include the following:

- ***Project Plan.*** The Vendor shall develop a Project Plan that covers all tasks and subtasks outlined in this SOW. The Project Plan shall include a Work Breakdown Structure (WBS). The WBS shall identify for both County and Vendor: task descriptions and activities, target start/stop dates, key milestones, responsible resources, equipment, material and dependencies. This project plan shall serve as the basis for contract planning, budgeting, and reporting of cost and schedule status to the County.



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- ***Policies, practices, and procedures***, based on the Vendor's normal processes, that include:
 - Risk Management
 - Software Quality Assurance
 - Upgrade and Release Process and Procedures
 - Software Development and Customization Approach, including any special tools used in the design and maintenance of the application. Special tools can include specific templates oriented towards the Vendor's methodology for system design and customization, requirements tracking, or testing.
 - Policies and procedures for prioritizing and responding to County support requests, including:
 - Criteria for diagnosing reported problems and determining probable cause(s) of the problem
 - Use of Severity Index criteria for assessing the impact of reported problems
 - Procedures determining responsibility for problem resolution
 - Defining response time for various categories of problems
 - Documenting the response and subsequent actions
 - Procedures for escalating disagreements with the County regarding cause of the problem and responsible party
 - Procedures for working cooperatively with County staff to promptly resolve problems
 - Tracking all problem reports
 - Configuration Management (CM) Plan specific to this installation. This shall include a description of the change management / defect tracking process.
 - Procedures and policies that will ensure that all subcontractors providing services to the Vendor under this contract perform in full compliance with the County approved CM Plan and Policies.
 - Test Planning.
- ***Detailed vendor staffing plan*** broken-out with key personnel approved by the County. The plan should provide, by task the estimated number of Vendor hours including other resources, where applicable, whether the task will be performed on-site in San Luis Obispo and, if so, the proposed duration that Vendor personnel will be present on-site.

The Vendor shall provide a draft PCD to the County within two weeks of contract award. A project kickoff meeting will be held at the County where roles, responsibilities, near-term plans, and actions will be discussed and finalized. The Vendor's policies, practices, and procedures as outlined in the draft PCD will be integrated with those of the County. A finalized PCD, based on these discussions, shall be delivered to the County within thirty (30) days after the contract award. ***The County will review and accept the PCD prior to the Vendor commencing further work on this project.***

The Vendor shall update and provide for the County's Project Manager's approval the PCD prior to initiating any tasks. The Vendor shall maintain an up-to-date version of the Project Plan using Microsoft Project. All changes to deliverable time frames which will impact the major milestones must be approved at least two weeks prior to the milestone, in writing, by the



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County's Project Manager. All approved changes shall be reflected in the PCD, and Vendor shall highlight and explain any major changes to an earlier version.

The Monthly Project Status Report described in Subtask 1.2 (Monthly Project Management Meetings and Status Reports) below shall use the PCD as the basis for reporting progress.

1.2 Subtask 1.2: Monthly Project Management Meetings and Status Reports

The Vendor shall create a **Monthly Progress Report (MPR) (Deliverable 2)** and meet with the County monthly to review. The report will outline overall project progress, critical task status (both accomplishments and delays) during the reporting period, any identified problems or issues (so that prompt corrective action can be taken) encountered in the performance of this contract, potential actions that can resolve the problem, and a summary of the activities planned for the next reporting period. A sample MPR is found below. All agendas and meeting materials shall be provided to County participants prior to the meeting and data presented at report reviews will be current within no more than five (5) days. The Vendor shall also submit a monthly invoice that outlines expenditures, billings, current cost and labor effort (i.e., labor hours and costs expended, by labor category, for each task and sub-task). ***The County will review and accept the monthly report and invoice prior to releasing payment for that month and/or deliverable.***

The San Luis Obispo County Health Agency - Behavioral Health Department
BHEHR Project
PROJECT STATUS REPORT
FOR PERIOD ENDING MM/DD/YY

OVERALL ASSESSMENT STATUS:

Provides a brief statement of the Vendor's assessment of the overall status of the BHEHR against the tasks and schedule of the approved Project Work Plan.

SUMMARY OF ACCOMPLISHMENTS:

Provides a description of all activities performed during the reporting period.

PROBLEM AREAS:

Describes problems, issues and concerns identified by the Vendor that may impact the project. If appropriate, copies of the Problem Report/Corrective Action Log will be attached.

POLICY & MANAGEMENT QUESTIONS:



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Identifies issues requiring resolution or attention.

UPCOMING ACTIVITIES:

Identifies scheduled development activities for the upcoming reporting period.

PREPARED BY:

DATE:

1.3 Administrative Considerations

1.3.1 Deliverables

The following table summarizes all proposed deliverables that are outlined in this SOW.

No.	SOW Reference	Deliverable	Requested Date
1	1.1	Project Management Control Document	Award + 15 days
2	1.2	Monthly Progress Report and Invoice	Due 15 days after end of month
3	2.1, 2.5, 2.6	System Baseline and Certification Report	Award + 90 days
4	3.0	Software media and standard documentation.	Award + 10 days
5	4.1	Data Migration / Conversion Plan	Award + 90 days
6	4.3	Data Migration / Conversion Report	As required
7	5.1.1	Standard Features & Functions Checklist	As required
8	5.1.3	Functional / Technical Design Specifications	As required
9	5.2	Requirements Traceability Matrix (and Updates) for Customization Activities	As required
10	5.3	Custom Report Development (Optional)	As required
11	5.4	Custom Forms Development (Optional)	As required
12	6.1	Training Plan	Award + 90 days
13	6.2	Training Materials / Procedure Manuals	As required
14	7.1	Vendor Test Evaluation Program Plan (TEPP)	Award + 45 days
15	7.2	Detailed Test Procedures	As required
16	7.4	Detailed Test Report	As required
17	8.0, 8.11, 8.12, 8.13, 8.2.1, 8.2.2	Custom Modification Specification (Optional)	As required for each modification
18	9.0, 9.1.1, 9.2.1, 9.2.2	Interface Control Document	As required for each interface



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No.	SOW Reference	Deliverable	Requested Date
19	9.0	Certification of System Completion	End of Project

1.3.2 Delivery Instructions and Acceptance Process

The Vendor shall deliver all documentation required in this SOW in both hard copy and electronic media. Except for application software, all electronic documentation shall be in Microsoft Office 2003 format for Word, Excel, Powerpoint,, Project and Visio.

The County will use the following acceptance process, unless otherwise noted:

1. The County will have 7 workdays to review draft deliverables and make comments.
2. The Vendor will then have 5 workdays to make corrections.
3. Upon receipt of all final deliverables, the County will have 5 workdays to accept the corrected deliverable or to reject the corrected deliverable and return it per delivery instructions.

1.3.3 Period of Performance

The Period of Performance will be negotiated at time of award and is estimated to be January 1, 2010 plus twenty-four (24) months for Tasks One through Ten. The period of performance for Task 11 will be based on the acceptance of the Licensed Programs by the County and will be for a period of 3 years with the County having the right of unilateral annual renewal thereafter.

1.3.4 Place of Performance

When the Vendor’s presence is required on-site, work will be performed at the following County facility. Otherwise work will be performed at the Vendor’s site.

San Luis Obispo County Health Campus
2180 Johnson Drive
San Luis Obispo, CA 93401

2 Task 2: Establish System Environment

The County is responsible for providing a secure, operational computing environment that meets the performance requirements established by the Vendor. The Vendor’s responsibility, unless other arrangements are made, is specific to the operation of its Licensed Programs.

2.1 Subtask 2.1: Assess and Approve County Infrastructure

The Vendor shall review and identify any deficiencies in the County infrastructure that may impact the performance of their Licensed Programs. The Vendor shall approve the specifications provided by the County for the virtual server, network and desktop environments in writing, noting any deficiencies that may impact the performance of their Licensed Programs. The results of this shall be documented as part of the **System Baseline and Certification Report (Deliverable 3)**



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2.2 Subtask 2.2: Install Licensed Programs

The Vendor shall:

- Load the licensed programs
- Load the third party support (i.e., database and reporting) products needed by the application unless the County has previously installed the products
- Create training, development, test and production operating environments on the County System Environment
- Perform installation acceptance testing to determine proper functionality before delivery to the County for further configuration and/or modification, if needed. This includes tests to ensure that the software is accessible from client workstations
- Demonstrate the Licensed Programs operate in the County System Environment in accordance with the Vendor's Licensed Programs' Specifications.

2.3 Subtask 2.3: Establish County Standard Configuration

The Vendor shall coordinate with the County to complete configuration of the COTS application and supporting databases to meet the County broad functional requirements. This includes accomplishing the County file build, dictionary imports, and all associated performance, integration and user testing.

2.4 Subtask 2.4: Basic Operational Training

The Vendor shall train County IT staff on basic operational tasks related to start-up, shut-down, back-up and recovery procedures of the Licensed Programs and the process for installing Licensed Programs on the County workstations.

2.5 Subtask 2.5: Document Installed Baseline Configuration

The Vendor shall report and fully documents the established hardware and software baseline for the accepted installed and configured Licensed Programs as part of the **System Baseline and Certification Report (Deliverable 3)**. In this report, the Vendor shall address any special considerations that the County should be aware for subsequent tasks. This can include: network considerations, data control, security and audit procedures; archived historical data, current data purging and data entry criteria, scheduling, disaster recovery, special quality assurance factors and configuration control requirements.

2.6 Subtask 2.6: Installed System Certification and Acceptance

The Vendor shall certify in writing as part of the **System Baseline and Certification Report (Deliverable 3)** to the County that the System Environment(s) are ready for formal design and implementation activities. The County will review and approve this baseline document as certifying successful installation of the System Environment. ***The County must accept the installed System Environment prior to the Vendor commencing any further work.***

3 Task 3: Documentation



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The Vendor shall deliver standard system documentation, including all license keys, on electronic media (i.e., CD-ROM or DVD) for all licensed programs that addresses the normal operational functions of the software as well as backup and recovery steps and routine maintenance functions (**Deliverable 4**). At a minimum, this shall include the following:

- User Manual, which details the procedural steps required for the County staff to operate the software via a user's workstation for each business functional area;
- System Administrator Manual, which describes the functions to be performed by the County Server / System Administrator
- System Notes and Implementation Formulary for all essential system components.
- Third party documentation for User Manuals, System Administrator Manuals, and System Notes and Implementation Formulary for all third party software being delivered under the original contract.

The Vendor will provide at least one copy of all system documentation in hard copy. **The Vendor's license shall provide the County a "right to copy" for their internal use all user documentation associated with the system.**

4 Task 4: Data Migration

4.1 Subtask 4.1: Plan Data Migration / Conversion

The Vendor shall work with the County to define the migration of data from the County legacy system(s) into the Vendor's Licensed Programs. At a minimum, this task will include the import of the following information and data for all clients receiving services during the period from January 1, 2008 to January 1, 2010:

- Consumer and Family Information Required by the State such as CSI and CalOMS
- Service, Claim and Billing Information
- Assessments including diagnoses (some assessments may currently be paper-based)

Detailed progress notes and other clinical information are not currently expected to be imported from the County legacy systems to the proposed System Environment. However, the County's approach to integrating existing electronic records into the BHEHR has not been determined. The choices include retaining the current County hard copy case filing system to operate as a hybrid system, creating an electronic abstract of historical data for reference, converting all data to the Vendor's Electronic Health Record (EHR) system.

As a result of discussions with the County, the Vendor shall provide a **Data Migration / Conversion Plan (Deliverable 5)** based on their recommended practices and experience with their product. The plan should address both the import of the standard data elements as well as any non-standard data elements. The plan should demonstrate the Vendor's understanding of the County's episodic and non-episodic data and should reflect the establishment of the proper date structures for the import of data. Depending on County's decisions regarding the implementation of an EHR, the Vendor may need to consider a phased approach to the data migration. The plan shall include the Vendor's approach to confirming the integrity of the data



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after import. *The County shall review and accept the Data Migration/ Conversion Plan prior to the commencement of Subtask 4.2.*

4.2 Subtask 4.2: Perform Data Migration

The Vendor shall perform the data migration in accordance with the approved plan. The Vendor shall work with the County to resolve all issues identified during the import, such as errors or data rejected during the import, until the data import is accomplished to the satisfaction of the County.

4.2.1 Subtask 4.2.1 Standard Data Migration

The Vendor shall ensure that all data that is essential to the practice management, billing and clinical functionality of the Vendor's Licensed Software is migrated to the County System Environment and document this in a report to the County.

4.2.2 Subtask 4.2.1 Additional Data Migration

The Vendor shall work with the County to migrate all remaining data deemed essential to the customized use of the Vendor's system by the County.

4.3 Subtask 4.3: Document Results

The Vendor shall document the results of the data migration in a **Data Migration Report (Deliverable 6)**, documenting any remaining issues that may impact the integrity of the imported data and any lessons learned from the migration process. *The County will accept the Data Migration Report as final before this task is considered complete.*

5 Task 5: System Configuration

The County plans to configure the Vendor's Licensed Programs to meet their business needs in an incremental fashion, starting with the Practice Management and Billing modules, followed by an integrated Electronic Health Record (EHR). The Vendor shall support this effort as requested by the County. Configuration tasks are included as part of the standard implementation activity.

5.1 Subtask 5.1: Finalize Business Rules and Workflow Issues for Configuration

5.1.1 Subtask 5.1.1: Planning and Coordination

The Vendor and County shall establish general requirements and overall priorities for the configuration effort. This effort will also confirm which requirements will be considered standard functionality and which requirements will require modification (as opposed to configuration) of the current Licensed Programs. The Vendor, together with the County, shall do the following:

- Match a detailed **Standard Features and Functions Checklist (Deliverable 7)**, provided by the Vendor, against the County requirements. The County requirements will include Practice Management, Billing and Electronic Health Record Requirements, the additional functionality implemented in and planned for the County legacy system(s), and the County's actual business practices.



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- Correlate all County defined documentation and related workflow processes, both electronic and non-electronic, to include all inpatient and outpatient clinical documentation including progress notes, treatment plans, assessments, and other related functions, with the current functionality of the Vendor's system and provide the County with recommendations for further configuration and/or modification activities.
- Assess County reports identified in **Appendix E – Data Requirements** and correlate to existing reports available in Vendor's system. Provide County with a recommendation for developing additional reports that are not already available in the Vendor's system, including estimated time and cost information for the report development process.
- Ensure that the County can accurately record and bill services through the Vendor's Practice Management system, based on the progress note and charge input options established with the County.
- Review the Vendor's system functionality for appointment scheduling against County current practices and make recommendations for its use within the County.
- Work with the County to establish an integrated record management system.

The Vendor shall provide any additional special software tools used in the design and maintenance of the Licensed Programs and shall provide specific training to the County on the use of these special tools. Special tools can include specific templates oriented towards the Vendor's methodology for system design and configuration, requirements tracking, or testing.

The Vendor shall identify to the County any requirements that will require software modification (as opposed to configuration). The Vendor shall provide the County an impact statement including schedule and cost as to the development and implementation of such features and include this in Deliverable 7.

5.1.2 Subtask 5.1.2: Staff Work Sessions

The Vendor shall work with the County to conduct two (2) series of work sessions at the County's site with the Vendor and the County staff. During the first series, the Vendor shall present the new system software to key County staff, demonstrate key operational components of the new system, answer questions regarding its implementation at the County, and further identify and/or review software configuration and/or modification requirements identified during the planning process described in Subtask 5.1.1. During the second set of work sessions, the Vendor shall summarize the events of the first session, review their recommendations for configuration and / or development with the group, and document any further issues or problems that require further action. Additional communication between the first and second session will be handled via telecommunications, phone, email, or Web conferencing.



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Each series of work sessions will be for no less than 5 days. Sessions will be grouped as follows, trying to maintain an optimum workgroup size of five (5) people, exclusive of facilitator and scribe:

Session Topic	No Groups	Total Participants
Practice Management and Billing. These sessions will concentrate on the use of the Vendor’s PM/ Billing and will be used to confirm the match between the system and the County requirements, confirm customization requirements, and address any specific training and testing issues.	1-2	8
Health Information Management. These sessions will concentrate on the clinical information to be collected. This will also include a review of the requirements by the County for an Electronic Health Record.	5	25 grouped by service
Integrated Record Management. These sessions will focus on the additional requirements that involve the County and Vendor agreed to records management system..	3 to 5	15 to 20

5.1.3 Subtask 5.1.3: Requirements and System Specification

Based on the outcomes from Subtask 5.1.1 and 5.1.2, the Vendor shall document the baseline capabilities and processes for each version of the COTS configuration in a document entitled the **Functional / Technical Design Specification (Deliverable 8)**. This document shall include all appropriate data flows, data dictionary entries, dialogue specifications, and inputs/outputs by module or subsystem. The Vendor shall outline the approach and instructions for the modification of their product. The Vendor shall determine what requested features may require modification, as opposed to configuration, and propose a resolution (i.e., whether development services are required, whether feature can be accommodated via workaround at system or user level). The resulting documentation will be used by the County to develop any custom documentation, specifically tailored to the configuration and/or modification of the Vendor’s system as required by the County workflow(s). ***The County must accept the Requirements Document and System Specifications as final prior to any customization of the Licensed Programs being initiated.***

5.2 Subtask 5.2: Requirements Traceability Matrix

Starting with the **Standard Features and Functions Checklist (Deliverable 7)** based on their Licensed Programs, the Vendor shall develop, deliver, and maintain a **Requirements Traceability Matrix (RTM) (Deliverable 9)**, consistent with **Functional / Technical Design Specification (Deliverable 8)**, listing all system requirements and detail how and where they are addressed. A draft of the RTM shall be available in preparation for the first session in Subtask



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5.1.2. The Vendor will then discuss each requirement with the County to ensure that both the County and the Vendor have a complete understanding of the requirement. Where appropriate, the County and the Vendor will discuss alternate approaches to implement the requirement that may include procedural changes or workarounds, as well as custom modifications to the software. The County and the Vendor will reach agreement on the alternative to be pursued (which may include a determination that specific modification will not be performed) and the County staff will be provided with all information and details on how the requirement will be supported by the new system, what the specific modification will cost, and when it will be included in the system. The Vendor will document the results of the meetings and the specific decisions made with respect to each modification requirement. The Vendor will update the RTM accordingly. *The County must accept all the updates to the RTM from Task 5.1 prior to any modification of the License Programs being initiated.*

5.3 Subtask 5.3: Custom Report Writing (Optional)

The Vendor may be asked to assist the County in the development of any **Custom Reports (Deliverable 10)** requested by the County based on the assessments and analysis in Subtasks 5.1.1 and 5.1.2. All custom reports developed by the Vendor must be fully documented, including the purpose of the report and a detailed description of the technical specifications and query parameters.

5.4 Subtask 5.4: Custom Form Development (Optional)

The Vendor may be asked to assist the County in the development of any **Custom Forms (Deliverable 11)** requested by the County based on the assessment in Subtask 5.1.1 and 5.1.2. All custom forms developed by the Vendor must be fully documented, including the purpose of the form and a detailed description of the functional specifications and parameters.

5.5 Subtask 5.5: Support for Custom Work

The County may request the Vendor to assist in the screen development and prototyping process as documented in the **Functional / Technical Design Specification (Deliverable 8)** and the updated **Requirements Traceability Matrix (RTM) (Deliverable 9)**.

The Vendor shall certify in writing that the configured and/or modified system modules are ready for formal testing and acceptance by the County. When the Vendor is directly responsible for any modification, the Vendor shall ensure that the modified application software has been tested by Vendor staff, is properly installed and fully operational in the County System Environment, and that all acceptance site network components and computer workstations are ready for formal testing. The Vendor shall review all work done by the County against the installed system baseline and verify that the changes do not interfere with the correct operation of the Licensed Programs and can be maintained by the Vendor in future releases of the Licensed Programs. The Vendor will clearly identify in writing any configuration and/or modifications, if any, that will not be maintained by the Vendor in future releases of the Licensed Program.

6 Task 6: Training

The Vendor shall provide training support for the installed system to include planning, materials, and possible presentation. All training will be done at the San Luis Obispo County Health



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Campus in San Luis Obispo, CA, or at a nearby site, depending on availability of facilities. The County will secure facility reservations at the request of the Vendor. Four weeks advanced notice is required for reservations.

6.1 Subtask 6.1: Develop Training Plan

The Vendor shall specify training approaches, methods, schedules, tools, and curricula in a **Training Plan (Deliverable 12)** for all levels of system users. The Vendor shall work with the County to identify the appropriate individuals that will form the core training team as well as any key users that provide on-going system and end-user support. Because the **Training Plan** will be used for facility staff in many functional areas with unique differences, it shall be easily segmented and organized to serve all groups. The **Training Plan** must be organized to allow inclusion in future training manuals and training materials for installation and implementation of the proposed solution.

As a minimum, the Vendor's training plan shall address the following:

- Training for County information technology staff and system administrator(s) and in the configuration, operation, maintenance, and problem resolution procedures for the system.
- Training for County information technology staff and other key operations staff in the development and maintenance of custom forms, reports, data extracts and interfaces.
- Training for all staff involved in system acceptance testing. This training shall be provided in stages as the various functional components of the system are implemented.
- Training for County end-users to include managers, clinical, financial, and administrative staff in the functions of the system available to them.

The County will conduct a formal review of the training plan with the Vendor. This review shall be thorough and meeting minutes will be taken, describing the action items requiring follow-up by the Vendor. *The County will formally accept the Training Plan upon the Vendor's remediation of all outstanding action items related to the plan.*

6.2 Subtask 6.2: Develop Training and Support Materials

Following County approval of the **Training Plan (Deliverable 12)**, the Vendor shall develop **Training Materials (Deliverable 13)**, to include course objectives, teacher guides, student guides, course materials and manuals, distance learning tools and computer-based tools. The Vendor shall deliver training materials in reproducible format and customized for use by the County. All training materials shall be easy-to-read with detailed illustrations. The training materials must also include a list of acronyms, a glossary of technical terms, and step-by-step dialogues showing the user how to perform all necessary functions. Training materials shall supplement the training manual by providing training in a clear, quick, and efficient manner.

The County will conduct a formal review of the **Training Materials** with the Vendor. This review shall be thorough and meeting minutes will be taken, describing the action items



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requiring follow-up by the Vendor. *The County will formally accept the Training Materials (Deliverable 13) upon the Vendor's remediation of all outstanding action items related to the training materials.*

6.2.1 Subtask 6.2.1 Training Materials for IT Staff

The Vendor shall provide all training material for the IT staff, including all system administration and management documentation and presentation layer, as well technical database documentation (i.e. entity relationship diagram, data dictionary, etc.) as part of **Training Materials (Deliverable 13)** .

6.2.2 Subtask 6.2.2 Training Materials for Acceptance Testing

The Vendor shall provide all training materials for the County staff involved in acceptance testing as part of **Training Materials (Deliverable 13)**. This shall include both the standard training materials for the modules as well as any customized materials for the County. The materials shall be used for training the staff as well as a practical review of the developed materials as the basis of training to County end users on the Licensed Programs.

6.2.3 Subtask 6.2.3 Training Materials for End-Users

If deemed necessary, the County may request that the Vendor provide support in customizing the training materials used during acceptance testing for use in the education and training of County end-users.

6.3 Subtask 6.3: Training Classes

The County may direct the Vendor to conduct a training program for County staff using manuals and materials finalized and approved by the County. Training may include train-the-trainer or training students. The training will be consistent with the approved methodology contained in the **Training Plan (Deliverable 12)** and shall include the finalized **Training Materials (Deliverable 13)** approved by the County. The type of training required by the County and conducted by the Vendor will be determined jointly by the County and Vendor. Following completion of any training event, the Vendor shall document any lessons learned in the ensuing monthly progress report.

6.3.1 Subtask 6.3.1 Conduct Systems Training for IT Staff

The Vendor shall present their standard training for County information technology staff and system administrator(s) in the operation, maintenance, and problem resolution procedures for the system. This will be for up to 10 staff.

6.3.2 Subtask 6.3.2 Conduct Configuration and Development Training for IT Staff

The Vendor shall present training for County information technology staff and system administrator(s) in the development and maintenance of custom forms, reports, data extracts and interfaces. This will be for up to 10 staff.



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6.3.3 Subtask 6.3.3 Conduct Training for Staff Involved in Acceptance Testing

The Vendor shall support the training for all staff involved in system acceptance testing. This training shall be provided in stages as the various functional components of the system are implemented. This may be for up to 25 people.

6.3.4 Subtask 6.3.4 Conduct Training for County Training Staff

The Vendor shall provide train-the-trainer classes for the County training staff. The County training staff is designated to train the County managers, administrators, clinicians, financial analysts, and clerical staff. This course will train the training staff on how to train the above personnel to use the system. This will be for up to 10 additional training staff members.

7 Task 7: Testing

Vendor staff shall be active participants in all formal testing activities, beginning at the unit and module level and progressing through full systems integration testing and final acceptance test. The Vendor shall coordinate with the County to schedule all formal test activities. In no event shall the Vendor commit County resources to a test event or test schedule prior to County approval.

7.1 Subtask 7.1: Develop Test Plan

The Vendor shall develop and implement a test and evaluation program to ensure that all services, deliverables, and documents called for under this contract meet County and contract requirements prior to delivery to the County. The County will provide a basic, high-level BHEHR Test Plan. The Vendor shall develop a **Test Evaluation Program Plan (TEPP) (Deliverable 14)**, in accordance with the County's BHEHR Test Plan, that describes the methodology and approach that will be used by the Vendor to independently validate product performance, prior to "walk-through" and evaluation by the County or its designated independent verification and validation (IV&V) agent. The TEPP shall identify participants in test activities, describe the roles and responsibilities of each participant, and reference the specific test procedures. It shall also document how the Vendor plans to verify that all key functionality is tested against the RTM and the specification documents, how problems are documented and tracked through the correction and retesting steps, and how the test results will be reported to the County.

As a minimum, the test plan will address the appropriate points in the BHEHR implementation process to include:

- Installation
- Configuration of the Licensed Programs to meet the broad County requirements
- Custom modifications
- Interface development
- System integration activities
- System cut-over

The Vendor shall certify in writing that each level of testing is completely and accurately based upon the County-accepted design and specifications, has successfully completed unit testing,



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system testing and integration testing, has successfully corrected all identified deficiencies, that the system functions as specified, and that it is ready for user acceptance testing.

7.2 Subtask 7.2: Test Procedures

The Vendor shall develop detailed test procedures (**Deliverable 15**) for each proposed increment/activity. Test procedures shall identify each discrete event/step to be accomplished in the test activity and shall tie directly to the Requirements Traceability Matrix (RTM), ensuring that each element of the RTM is covered by a specific test procedure. The sequence of events shall also be specified to ensure proper verification. Each procedure shall identify who is responsible for executing the event, exactly what actions/processes are involved, how the event will be documented, and the required outcome. ***The County must review and accept all Test Procedures prior to test performance.***

7.3 Subtask 7.3: Test Performance

The Vendor shall participate actively in all formal system testing. County staff will conduct formal testing and document test results and problems encountered. The Vendor and the County will oversee user testing activities to ensure that each system function operates properly and that overall system performance is acceptable. The Vendor shall assist in determining whether problems encountered are due to software malfunctions, problems with table data or test data, technical infrastructure, or procedural issues. The Vendor shall make available the appropriate engineering staff during formal testing to support trouble-shooting, explain nuances of system design, and help implement quick fixes. The County may request that Vendor personnel, thoroughly familiar with the system, be available on-site during the final system test.

The Vendor shall update any test procedures impacted by changes in system requirements. In the event that modifications or changes to the Vendor's software are identified during testing, these modifications or changes will be treated in accordance with the change control process described in the PCD. County and Vendor staff will re-test the system's functions that failed the first round of testing to determine that the functions work properly. The testing/software modification/re-testing process will be repeated until no significant software malfunctions exist. ***User acceptance testing must be successfully completed and accepted by the County for each increment prior to each major element of the Licensed Programs being placed into production use.***

7.4 Subtask 7.4: Test Report

The Vendor shall provide a **Detailed Test Report (Deliverable 16)** which contains a detailed summary of formal and informal test events, system performance measurements, test findings, action items, and lessons learned. The Vendor shall certify that all significant deficiencies have been resolved and the software is ready for production use. The Vendor shall also certify that all configuration and/or development will not void or invalidate the Vendor's software warranty and that the Vendor will maintain these features in future releases of the Licensed Programs. ***The County will review this deliverable and formally accept the tested software in writing by acceptance of the test report.***



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8 Task 8: System Modifications

The County may require specific modifications to the Vendor's system. All needed modifications will be specified by the County. For each modification developed, the Vendor shall thoroughly document the nature of each modification in a **Custom Modification Specification (Deliverable 17)** and provide appropriate application and system operations documentation. Specifications for each custom modification may be submitted as subsections to one master document (Custom Modification Specification) and shall include the following for each modification under consideration:

- Scope of the Modification
- Concept of Operations including information on the functionality of the modification, the software components or modules involved, security and integrity requirements, and interface requirements
- Detailed Requirements
- Verification and Testing Methods to ensure that the modification requirements have been met
- Approvals

The County must approve the Specification prior to any modification being developed. The Vendor shall develop and test modifications in accordance with the procedures outlined in the Specification. *The County will indicate acceptance of the completed modification by signing the appropriate approval in Deliverable 17.*

8.1 Subtask 8.1: Develop DUI Functionality (Optional)

8.1.1 Subtask 8.1.1 Develop Specification for Custom Modification – DUI (Optional)

The Vendor shall develop a **Custom Modification Specification (Deliverable 17)** that supports the Drug and Alcohol Division's Driving Under the Influence (DUI) program. The Vendor shall confirm all appropriate State and Federal regulations are accounted for in the software specification. Included in "**Appendix J – Driving Under the Influence (DUI) Business Process Description**" is a high-level description of the business requirements for the DUI program. In addition, the County will make available to the Vendor all documentation and source code related to its implementation of a DUI tool in Access/SQLServer. *The County must accept the Specification Document as final prior to any modification of the Licensed Programs.*

8.1.2 Subtask 8.1.2 Develop Custom Modification – DUI (Optional)

The Vendor shall modify the Licensed Programs to meet County requirements to manage the DUI program based on the specification developed in Subtask 8.1.1. The Vendor will develop



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and test the modification in accordance with the procedures outlined in the **Custom Modification Specification (Deliverable 17)**.

The Vendor shall, upon County approval, develop and implement the module for the “prescribed program” / DUI functionality as part of its standard system.

The Vendor shall develop a use case for testing the DUI functionality according to the scenario provided to the successful vendor. The Vendor shall validate this use case with the County prior to testing. The County will be responsible for user-acceptance testing of the DUI module.

The Vendor shall ensure that this module is supported as part of its standard maintenance agreement with the County. The Vendor shall be responsible for implementing any changes to this module at the request of the County using the agreed upon change request process described in the PCD

8.2 Subtask 8.2: Develop Psychiatric Health Facility (PHF) In-Patient Functionality (Optional)

8.2.1 Subtask 8.2.1 Develop Specification for Custom Modification – PHF (Optional)

The Vendor shall develop a **Custom Modification Specification (Deliverable 17)** to meet the needs of the County’s PHF unit. The Vendor shall confirm all County requirements are accounted for in the software specification. ***The County must accept the Specification Document as final prior to any modification of the Licensed Programs.***

8.2.2 Subtask 8.2.2 Develop Custom Modification – PHF (Optional)

The Vendor shall modify the Licensed Programs to meet County requirements to service the PHF operation based on the specification developed in Subtask 8.2.1. The Vendor will develop and test the modification in accordance with the procedures outlined in the **Custom Modification Specification (Deliverable 17)**.

The Vendor shall, upon County approval, develop and implement the module for the PHF functionality as part of its standard system.

The Vendor shall develop a use case for testing the PHF functionality according to a business scenario that will be provided by the County when the specification is developed.. The Vendor shall validate this use case with the County prior to testing. The County will be responsible for user-acceptance testing of the PHF module.

The Vendor shall ensure that this module is supported as part of its standard maintenance agreement with the County. The Vendor shall be responsible for implementing any changes to this module at the request of the County using the agreed upon change request process described in the PCD



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9 Task 9: Interface Development

The County may require specific interfaces be developed between the Vendor's system and external systems. All needed interfaces will be specified by the County. For each interface to be developed, the Vendor shall configure, code, and test all application, application extensions, data conversion, and data acquisition/interfaces. The Vendor shall document the nature of each interface in an **Interface Control Document (ICD) (Deliverable 18)** and provide appropriate application and system operations documentation. Documentation for each custom interface may be submitted as subsections to one master document (Interface Control Document) and shall include the following for each interface under consideration:

- Scope of the Document identifying all systems participating in the interface
- Concept of Operations including information on the functionality of the interface, the hardware and software components, methods for data transfer, transactions involved, and security and integrity requirements
- Detailed Interface Requirements including data protocols, data formats, communications methods, and processing priorities
- Qualification Methods to verify that the interface requirements have been met
- Approvals

The County must approve the ICD prior to any interface being developed. The Vendor shall develop and test the interface in accordance with the procedures outlined in the ICD. *The County will indicate acceptance of the final interface by signing the appropriate approval in Deliverable 18.*

9.1 Subtask 9.1 Replace Existing Drug Testing Lab Interface (Optional)

9.1.1 Subtask 9.1.1 Develop Interface Control Document (ICD) for Drug Testing Lab Interface (Optional)

The Vendor shall develop a software specification that supports the exchange of data between the Vendor's system and one of the County's contract laboratory providers. An overview of the existing data exchange is provided in **Appendix H – Drug Testing Lab Interface Description**. Vendor will provide an **Interface Control Document (Deliverable 18)** for this interface. At the completion of this task, and depending on complexity, risk and cost factors, the County may ask the Vendor to develop this interface.

9.1.2 Subtask 9.1.2 Develop Custom Interface – Drug Testing Lab (Optional)

The Vendor shall, upon County approval, provide a secure interface between the Vendor's system and drug testing lab as part of its standard system. The Vendor shall develop and test the interface in accordance with the Interface Control Document developed in Subtask 9.1.1.



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The Vendor shall develop a use-case for testing the lab interface. The Vendor shall validate this use-case with the County prior to testing. The County will be responsible for user-acceptance testing of the lab interface.

The Vendor shall ensure that this interface is supported as part of its standard maintenance agreement with the County. The Vendor shall be responsible for implementing any changes to this module at the request of the County using the agreed upon change request process described in the PCD

9.2 Subtask 9.2 Data Exchange with Family Care Network (Optional)

9.2.1 Subtask 9.2.1 Develop Requirements and Specification – Family Care Network (Optional)

The Vendor shall develop a software specification that supports the exchange of consumer, clinical and billing data between the County and Family Care Network (FCN). The FCN system is a custom application developed by FCN (description can be found in **Appendix I – Family Care Network Interface Description**). Vendor will provide an **Interface Control Document (Deliverable 18)** for this interface. At the completion of this task, and depending on complexity, risk and cost factors, the County may ask the Vendor to develop this interface.

9.2.2 Subtask 9.2.2 Develop Interface with Family Care Network (Optional)

The County may request the Vendor develop the interface described in the ICD developed in Subtask 9.2.1, which would exchange data between the Vendor's system and Family Care Network if it becomes necessary to synchronize data in both systems. The Vendor will develop and test the interface in accordance with the procedures outlined in the **Interface Control Document (Deliverable 18)** for this interface.

10 Task 10: System Cutover (“Go Live”)

The Vendor shall support end to end system testing and final training (if any) for the final “go live”. This will entail the final cutover from all the functionality in the County legacy system(s) to that provided by the Vendor's and all specified interfaces. The Vendor shall conduct with the County a post-implementation review meeting to discuss and resolve any outstanding issues from the system cutover.

The Vendor shall certify in writing to the County the successful completion of system cutover in the **Certification of System Completion (Deliverable 19)**. The County will review the Vendor certification. After all problems have been successfully resolved, ***the County will formally accept this certification in writing, signifying that the system installation and development phase is complete.***



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11 Task 11: On-Going Software Maintenance, Enhancements, and Support

The Vendor will maintain the software to ensure its continued operation in accordance with a separate, negotiated support agreement. The Vendor may also be asked to enhance the application software to meet the changing requirements of the County and provide ongoing systems analysis, training, problem resolution and other technical support services, as required, to County staff.

11.1 Subtask 11.1: Standard Software Support

The Vendor will provide routine maintenance support services for the system software, based upon a fixed yearly rate, in accordance with the Vendor's standard support agreement that incorporates these requirements:

Routine maintenance is considered to include the following:

- **Corrective Maintenance** – Changes necessitated by actual errors/bugs or design deficiencies. Corrective maintenance consists of activities normally considered to be error correction required to keep the system operational. By its nature, corrective maintenance is usually a reactive process. Corrective maintenance is related to the system not performing as originally intended. The three main causes of corrective maintenance are (1) design errors, (2) logic errors, and (3) coding errors.
- **Adaptive Maintenance** – Changes initiated as a result of changes in the environment in which a system must operate. These environmental changes are normally beyond the control of the maintainer and consist primarily of changes to the: (1) rules, laws, and regulations that affect the system; (2) hardware configuration, e.g., new terminals, local printers, etc.; (3) data formats and file structures; and (4) system software, e.g., operating systems, compilers, utilities, etc. The Vendor will provide on-going maintenance to ensure the system is in compliance with all mandates applicable to mental health and alcohol and drug programs.
- **Perfective Maintenance (also known as enhancements and upgrades)** – All changes, insertions, deletions, modifications, extensions, and enhancements made to a system to meet the evolving and/or expanding needs of the user. It is generally performed as a result of new or changing requirements, or in an attempt to augment or fine-tune the existing software/hardware operations/performance. Activities designed to make the code easier to understand and to work with, such as restructuring or documentation updates, are included in the Perfective category.
- **Preventive Maintenance** – Changes required for avoiding or detecting problems before they cause operational problems. Hardware maintenance could include regular checks of performance and physical inspection for wear and resulting adjustments as necessary. Software maintenance in this category could include regular review of performance metrics, analysis of loads and trends and any emerging issues with system performance, and adjustments of the system to ensure that operations are not disrupted.



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All software fixes and version updates will be made available to the County free of charge, either via electronic download or media shipment. All software fixes, updates, or versions/enhancements shall continue to be subject to the same terms and conditions of the original License Agreement.

Under this task, the Vendor shall provide to the County the following services:

- Distribute any software upgrades or version replacements to which the County is entitled under the software license along with updated user and operational documentation. If requested by the County, assist in its installation in the test environment and migration to production.
- Provide Tier 3 support for up to five (5) contacts designated by the County. The Vendor shall respond to all support requests from the County staff. This includes requests to: fix a defect in existing application code, diagnose problems, resolve problems by working in partnership with County personnel, and configuration changes to the County system.
- Provide the necessary information so that the County can maintain compatibility and integration with the Vendor's system environment, including operating system upgrades or changes, network modifications, updates to any 3rd party reporting tools, and so forth which have been implemented in conjunction with this project. The County will notify the Vendor timely of any critical infrastructure changes so that any required analysis, recommendation and/or configuration changes by the Vendor can be implemented as quickly as possible.
- Utilize the Vendor's standard procedures for problem prioritization and escalation, including the Vendor's stated problem escalation and resolution guidelines based on their severity index for categorizing and prioritizing application code errors as documented in the PCD. The Vendor shall correct any errors in their application code that the County reports or which the Vendor identifies within a reasonable (and agreed upon) period, depending upon the severity of the error as outlined in the table below:

Priority	0	1	2	3
Description	Critical	High	Medium	Low
Criteria	A problem or issue impacting a large number of users (i.e., 10 or more) or any mission critical issue affecting a single user.	A problem or issue impacting a significant number of users (i.e., 1-9) that prevent user(s) from performing their business in normal fashion. .	Majority of the issues. Problems that are annoying but only has minor impact on users.	Technical questions, "How to issues"
Response Time	Within 30 Minutes	Within 1 hour	Next business day	Next business day



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Priority	0	1	2	3
Description	Critical	High	Medium	Low
Target Resolution	Within 24 hours	Within 1 business days	Within 5 business days	Within 10 business days
Nature of Resolution	Fix or workaround	Fix or plan with scheduled target date for implementation of correction	Fix or plan with scheduled target date for implementation of correction	Future Release

- Toll-free number and direct telephone support available during normal County business hours (8 to 6 PST), exclusive of County or Vendor holidays.
- Provide emergency support after hours and on holidays.
- Web-enabled customer support and e-mail. All e-mail requests will be responded to within 24 hours.
- Access for County users to information, tools, techniques and procedures that can assist in the resolution of problems and reduce the need for the County to transfer problems to Vendor staff. The support area of the Vendor’s web site shall contain on-line access to the problem reporting, tracking and resolution database (i.e., trouble tickets), searchable knowledge base and e-mail subscription or alerting services.

The County agrees to:

1. Maintain the Software on a standard platform in normal, unmodified operating conditions as determined by the Vendor’s specified then-current revision level.
2. Document all support requests in writing that includes the user’s name, telephone number, e-mail address, description of the problem, and any additional information requested by the Vendor.
3. Install Software maintenance updates when provided by the Vendor and determined by the County not to impact the operation of its production system.

11.2 Subtask 11.2: Additional Professional Services

In the event that the Vendor’s Licensed Programs require modifications or changes, the Vendor and the County shall employ a change control process to formally document, authorize, and track all modifications, including associated target completion dates and firm, fixed costs. This process shall be based on the change management approach outlined in **Deliverable 1**. Software deficiencies that are determined to be the Vendor’s responsibility shall be resolved at no cost to the County. For all other instance, the Vendor will provide a firm, fixed price for additional programming services to provide the required modification or change. The County will



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specifically approve each change order before the Vendor performs the requested change. Vendor staff shall test the software after the modifications or changes are implemented and certify that the modified software functions properly before it is delivered to the County and installed in the County System Environment.

The County may also request the Vendor to modify the application software to modify or enhance the functionality of the application software, as formally requested by the County, using technical staff based at the Vendor's site. These services shall be provided based on a fixed hourly rate. The hourly rate for these services shall represent the composite rate for systems analysis and programming services and will be exclusive of travel costs if on-site service is required.

All requests from the County to the Vendor must be approved in writing by the County Project Manager. Within 10 working days of the Vendor's receipt of the County's request, the Vendor shall develop a functional description, design document and estimate of hours for the modification. Within 30 days of receipt of the functional Description, the County Project Manager will return the approved or disapproved functional description to the Vendor, approval or disapproval of which may be granted or withheld by County Project Manager in his sole judgment.

[END]