Case Management System (CMS) Upgrade
Request for Proposals (RFP)
RFP-23-CSSD-75

SCHEDULE

ACTIVITY (All times are local Phoenix time)	DATE
Issue RFP	January 17, 2023
Pre-Proposal Meeting at time 1:00 p.m.	January 26, 2023
Submittal of Written Questions by 3:00 p.m.	January 31, 2023
Responses to Written Questions	February 6, 2023
Proposal Submittal by time 3:00 p.m.	February 28, 2023
Award Recommendation to Phoenix City Council	TBD

DEADLINE FOR PROPOSALS
February 28, 2023
Submit via email to hsdprocurement@phoenix.gov

PROCUREMENT OFFICER
Nancy Harrison, Procurement Officer
Telephone: (602) 262-4037 (7-1-1 Friendly)

Date posted on website: January 18, 2023

This RFP does not commit the City to award any agreement.
All dates subject to change.

RFP PROCESS

DESCRIPTION OF NEED:
The Human Services Department is seeking a vendor to develop and maintain a cloud-based Case Management System. The system will be a source of record for Client information, financial and non-financial service delivery, and case management.. Additionally, the system will generate reports needed for various grants and allow for ad-hoc reporting of all data entered. Case Management should be implemented for the following programs: Family Services Center, Victim Services, Landlord and Tenant Counseling.

Vendor will be responsible for full system lifecycle of the Case Management System including design, coding, ensuring that all features are fully tested, product launch, end user training and ongoing support and maintenance. Post launch, vendor shall make resources available to develop any system enhancements necessary for ongoing operations. Vendor will work with designated staff to gather all the requirements and obtain signoff both during initial implementation and for future system enhancements.

MINIMUM QUALIFICATIONS:
Offeror must demonstrate in their proposal that it meets the minimum qualifications of 5 years of experience in full system lifecycle of the Case Management System including design, coding, ensuring that all features are fully tested, product launch, end user training and ongoing support and maintenance. Post launch, vendor shall make resources available to develop any system enhancements necessary for ongoing operations.
Proposals failing to meet the minimum qualifications will be disqualified as non-responsive.

AGREEMENT TERM AND CONTRACTUAL RELATIONSHIP:

1.1. The City may require the selected Offeror to participate in negotiations and to submit such costs, technical or other revisions of the submittals as may result from negotiations. The City shall draft all final contracts and documents that result from this RFP.

1.2. Offerors are responsible for reading the agreement and submitting any questions about it in accordance with the process listed in this agreement. By submitting a proposal, each Offeror agrees it will be bound by the agreement if selected. The City anticipates a 5-year term with two options to extend for additional five-year terms which may be exercised at the sole discretion of the City. Notwithstanding the foregoing, this Agreement will terminate upon the earliest occurrence of any of the following:

- reaching the end of the term and any extensions,
- completing the services set forth in the Scope of Work (the “Services”),
- payment of the maximum authorized compensation,
- reaching funding expenditure deadlines; or
- termination pursuant to the provisions of the agreement.

PRE-PROPOSAL MEETING:

All interested Offerors are encouraged to attend the Pre-Proposal Conference on January 26, 2023, at 1:00 pm Arizona time via Cisco WebEx**.** HSD staff will provide an overview of the RFP process and answer any RFP related questions. This meeting is not mandatory. To access the Pre-Proposal Conference, click the link below. Any questions asked during the Pre-Proposal Conference must also be emailed to the Procurement Officer by the submission deadline.

https://cityofphoenix.webex.com/cityofphoenix/j.php?MTID=mf2c40ba3f50370b29d5b2bc6c3a25df7

Join by meeting number: Meeting number (access code): 2469 031 3176
Meeting Password – hGUxYesu637
Join by phone: +1-415-655-0001
Join by video system: Dial 24690313176@cityofphoenix.webex.com. You can also dial 173.243.2.68 and enter your meeting number.

For RFP related questions, email hsdprocurement@phoenix.gov. The due date for submission of written questions is **3:00 p.m., (Arizona time) January 31, 2023.**

SCOPE OF WORK AND SPECIAL TERMS AND CONDITIONS:

Consultant will develop and maintain the client portal in accordance with the Scope of Work as set forth in ***Exhibit C***, which may be supplemented with additional detail from time to time during the term of the Agreement, and that are satisfactory to the City. In performing these services, Consultant will also specifically comply with the applicable Supplemental Terms and Conditions that are set forth in ***Exhibit G***. Consultant will provide progress reports to the City per a mutually agreed-upon schedule.

CITY'S OFFEROR SELF-REGISTRATION AND NOTIFICATION:

Offerors must be registered in the City's eProcurement Self-Registration System at https://www.phoenix.gov/financesite/Pages/EProc-help.aspx to respond to solicitations and access procurement information. The City may, at its sole discretion, reject any offer from a Consultant who has not registered in the City's eProcurement system.

PREPARATION OF OFFER:

1.1 All forms provided must be completed and submitted with your offer. The signed and completed Solicitation Disclosure form must be included or your offer may be deemed non-responsive.
1.2 It is permissible to copy Submittal forms if necessary. Erasures, interlineations, or other modifications of your offer must be initialed in original ink by the authorized person signing the offer. No offer will be altered, amended, or withdrawn after the specified offer due date and time. The City is not responsible for Offeror's errors or omissions.
1.3 All time periods stated as a number of days will be calendar days.
1.4 It is the responsibility of all Offerors to examine the entire solicitation and seek clarification of any requirement that may not be clear and to check all responses for accuracy before submitting an offer. Negligence in preparing an offer confers no right of withdrawal after due date and time. Offerors are strongly encouraged

to:

1.5 Consider applicable laws and/or economic conditions that may affect cost, progress, performance, or furnishing of the products or services.
1.6 Study and carefully correlate Offeror's knowledge and observations with the solicitation and other related data.
1.7 Promptly notify the City of all conflicts, errors, ambiguities, or discrepancies which Consultant has discovered in or between the solicitation and such other related documents.
1.8 The City does not reimburse the cost of developing, presenting, or providing any response to this solicitation. Offers submitted for consideration should be prepared simply and economically, providing adequate information in a straightforward and concise manner. The Offeror is responsible for all costs incurred in responding to this solicitation. All materials and documents submitted in response to this solicitation become the property of the City and will not be returned.

EXCEPTIONS:

Offeror must not take any exceptions to any terms, conditions, or material requirements of this solicitation. Offers submitted with exceptions will be deemed non-responsive and disqualified from further consideration. Offerors must conform to all the requirements specified in the solicitation. The City encourages Offerors to ask the procurement officer questions rather than including exceptions in their Offer.

INQUIRIES:

All questions that arise relating to this solicitation should be directed to the procurement officer on the solicitation cover page.

To be considered, written inquiries must be received at the address on the cover page by the submittal time. Written inquiries may be emailed to the address on the cover page. Inquiries received will then be answered in an addendum.

No informal contact initiated by Offerors on the proposed service will be allowed with members of City's staff from date of distribution of this solicitation until after the closing date and time for the submission of offers. All questions concerning or issues related to this solicitation must be presented **in writing**.

The Procurement Officer will answer written inquiries in an addendum and publish any addenda on the City's Procurement Website.

ADDENDA:

The City of Phoenix will not be responsible for any oral instructions made by any employees or officers of the City of Phoenix regarding the offering instructions, plans, drawings, specifications, or contract documents. Any changes to the plans, drawings and specifications will be in the form of an addendum. The Offeror must acknowledge receipt of any/all addendum by signing and returning the addenda document with the offer submittal.

BUSINESS IN ARIZONA:
The City will not enter contracts with Offerors (or any company(ies)) not granted authority to transact business, or not in good standing, in the state of Arizona by the Arizona Corporation Commission, unless the offeror asserts a statutory exception prior to entering a contract with the City.

LICENSES:
If required by law for the operation of the business or work related to this Offer, Offeror must possess all valid certifications and/or licenses as required by federal, state, or local laws at the time of submittal.

CERTIFICATION:

By signature in the offer section of the Affidavit page, Offeror certifies:

- The submission of the offer did not involve collusion or other anti-competitive practices.
- The Offeror must not discriminate against any employee, or Client for employment in violation of Federal or State Law. The Offeror has not given, offered to give, nor intends to give at any time hereafter, any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor, or service to a public servant in connection with the submitted offer.

SUBMISSION OF OFFER:

Offers must be submitted electronically via email and the following information should be noted on the subject line:

- Solicitation Number
- Solicitation Title
- Electronic Offers must be in possession of the Department on or prior to the exact time and date indicated in the Schedule of Events. Late offers will not be considered. The prevailing clock will be the email arrival time.
- Please submit your bid electronically via email to hsdprocurement@phoenix.gov. The date and time on the email will provide proof of submission and verification if the bid was received on or prior to the Due Date and Time. Please enter the solicitation number on the subject line of the email when submitting your bid. Indicate in the body of the email that you are submitting a response to the solicitation.

All offers must be completed in ink or typewritten. Include the number of copies that are required as indicated in the Submittal section.

WITHDRAWAL OF OFFER:
At any time prior to the solicitation due date and time, an Offeror (or designated representative) may withdraw the offer by submitting a request in writing and signed by a duly authorized representative. Facsimiles, telegraphic or mailgram withdrawals will not be considered. Withdrawals may not be made after the proposal due date.

OFFER RESULTS:
Offers will be opened on the offer due date, time and location indicated in the Schedule

of Events. Offers and other information received in response to the solicitation will be shown only to authorized City personnel having a legitimate interest in them or persons assisting the City in the evaluation. Offers are not available for public inspection until after the City has posted the award recommendation on the City's website.

PRE-AWARD QUALIFICATIONS:

1.1 Offeror must have been in operation a minimum of 5 years. The Offeror's normal business activity during the past 5 years will have been for providing the services, or substantially similar services, to those requested in this solicitation. (This information must be provided in The Submittal section. Years in Business and Customer Reference Listing of this solicitation.)

1.2 Upon notification of an award the Offeror will have 10 business days to submit a complete certificate of insurance in the minimum amounts and the coverages as required in the Insurance Requirements of this solicitation. Insurance requirements are non-negotiable.

AWARD OF CONTRACT:

Unless otherwise indicated, award(s) will be made to the most responsive, responsible Offeror(s) who are regularly established in the service contained in this solicitation and who have demonstrated the ability to perform the required service in an acceptable manner. The City reserves the right to award a contract by individual line items, by group, all or none, or any other combination most advantageous to the City. The City reserves the right to multiple awards.

Factors that will be considered by the City include:

- Technical capability of the Offeror to accomplish the scope of work required in the Solicitation. This includes performance history on past and current government or industrial contracts.
- Methodology;
- Cost and Fiscal Ability;
- Organization Capacity;
- Staffing and Implementation Plan;
- Demonstrated availability of the necessary manpower (both supervisory and operational personnel) to accomplish the scope of work in the Solicitation; and,
- Offeror history of performance and termination for convenience or cause.

Notwithstanding any other provision of this solicitation, the City reserves the right to: (1) waive any immaterial defect or informality; or (2) reject any or all offers or portions thereof; or (3) reissue a solicitation.

CITY'S RIGHT TO DISQUALIFY FOR CONFLICT OF INTEREST:

The City reserves the right to disqualify any Offeror based on any real or apparent conflict of interest that is disclosed by the offer submitted or any other data available to the City. This disqualification is at the sole discretion of the City. Any Offeror submitting an offer herein waives any right to object now or at any future time, before anybody or agency, including but not limited to, the City Council of the City of Phoenix or any court.

POST AWARD CONFERENCE:
After award, the Offeror may be required to participate in a Post Award Conference for the purpose of ensuring a complete understanding of the requirements.

SOLICITATION TRANSPARENCY POLICY:

1.1 Commencing on the date and time a solicitation is published, potential or actual offerors or respondents(including their representatives) shall only discuss matters associated with the solicitation with the Mayor, any members of City Council, the City Manager, any Deputy City Manager, or any department director directly associated with the solicitation (including in each case their assigned staff, except for the designated procurement officer) at a public meeting, posted under Arizona Statutes, until the resulting contract(s) are awarded to all offers or responses are rejected and the solicitation is cancelled without any announcement by the Procurement Officer of the City's intent to reissue the same or similar solicitation. If the solicitation is not discussed, Offerors may continue to conduct business with the City and discuss business that is unrelated to the solicitation with the City staff who is not involved in the selection process.

1.2 Offerors may discuss their proposal or the solicitation with the Mayor or one or more members of the Phoenix City Council, provided such meetings are scheduled through the Procurement Officer, and are posted as open meetings with the City Clerk at least 24 hours prior to the scheduled meetings. The City Clerk will be responsible for posting the meetings. The posted notice shall identify the participants and the subject matter, as well as invite the public to participate.

1.3 With respect to the selection of the successful Offerors, the City Manager and/or City Manager's Office will continue the past practice of exerting no undue influence on the process. In all solicitations of bids and proposals, any direction on the selection from the City Manager and/or City Manager's Office and Department Head (or representative) to the proposal review panel or selecting authority must be provided in writing to all prospective Offerors.

1.4 This policy is intended to create a level playing field for all Offerors, assure that contracts are awarded in public, and protect the integrity of the selection process. **PROPOSERS THAT VIOLATE THIS POLICY SHALL BE DISQUALIFIED.** After official Notice is received by the City for disqualification, the Proposer may follow the Protest process, unless the Solicitation is cancelled without notice of intent to re-issue.

1.5 "To discuss" means any contact by the proposer, regardless of whether the City responds to the contact. Offerors that violate this policy shall be disqualified until the resulting contract(s) are awarded, or all offers, or responses are rejected, and the solicitation is cancelled without any announcement by the Procurement Officer of the City's intent to reissue the same or a similar solicitation. The City interprets the policy as continuing through a cancellation of a solicitation until Council award of the contract, as long as the City cancels with a statement that the City will rebid the solicitation.

PROTEST PROCESS:

1.1 Offeror may protest the contents of a solicitation no later than seven days before the solicitation deadline when the protest is based on an apparent alleged mistake, impropriety, or defect in the solicitation. Protests filed regarding the solicitation may be addressed by an amendment to the solicitation or denied by the City. If denied, the opening and award will proceed unless the City determines that it is in the City's best interests to set new deadlines, amend the solicitation, cancel or re-bid.

1.2 Therefore, unless otherwise notified by a formal amendment, the Protester must adhere to all solicitation dates and deadlines, including timely filing of an offer, regardless of filing a protest.

1.3 Offeror may protest an adverse determination issued by the City regarding responsibility and responsiveness, within seven days of the date the Offeror was notified of the adverse determination.

1.4 Offeror may protest an award recommendation if the Consultant can establish that it had a substantial chance of being awarded the contract and will be harmed by the recommended award. The City will post recommendations to award the contract(s) to a particular Offeror on the City's website. Offeror must submit award protests within seven days after the posting of the award recommendation, with exceptions only for good cause shown, within the City's full and final discretion.

1.5 All protests will be in writing, filed with the Procurement Officer identified in the solicitation, and include the following:

- Identification of the solicitation number;
- The name, address and telephone number of the protester
- A detailed statement describing the legal and factual grounds for the protest, including copies of relevant documents;
- The form of relief requested; and
- The signature of the protester or its authorized representative.

1.6 The Procurement Officer will render a written decision within a reasonable period after the protest is filed. The City will not request City Council authorization to award the contract until the protest process is complete. All protests and appeals must be submitted in accordance with the City's Procurement Code, (Phoenix City Code, Ch. 43), and administrative regulations and any protests or appeals not submitted within the time requirements will not be considered**.**

PUBLIC RECORD:

All Offers submitted in response to this invitation will become the property of the City and become a matter of public record available for review pursuant to Arizona State law. If an Offeror believes that a specific section of its Offer response is confidential, the Offeror will isolate the pages marked confidential in a specific and clearly labeled section of its Offer response. An Offeror may request specific information contained within its Offer is treated by the Procurement Officer as confidential provided the Offeror clearly labels the information “confidential.” To the extent necessary for the evaluation process, information marked as “confidential” will not be treated as confidential. Once the procurement file becomes available for public inspection, the Procurement Officer will not make any information identified by the Offerors as “confidential” available to the public unless necessary to support the evaluation process or if specifically requested in accordance with applicable public records law. When a public records request for such information is received, the Procurement Officer will notify an Offeror in writing of any request to view any portion of its Offer marked “confidential.” The Offeror will have the time set forth in the notice to obtain a court order enjoining such disclosure. If the Offeror does not provide the Procurement Officer with a court order enjoining release of the information during the designated time, the Procurement Officer will make the information requested available for inspection.

LATE OFFERS:

Late Offers must be rejected, except for good cause. If a late Offer is submitted, the Department will document the date and time of the submittal of the late Offer, keep the Offer and notify the Offeror that its Offer was disqualified for being a late Offer.

RIGHT TO DISQUALIFY:

The City reserves the right to disqualify any Offeror who fails to provide information or data requested or who provides materially inaccurate or misleading information or data. The City further reserves the right to disqualify any Offeror based on any real or apparent conflict of interest that is disclosed by the Offeror submitted or any other data or information available to the City. This disqualification is at the sole discretion of the City. By submission of a solicitation response, the Offeror waives any right to object now or at any future time, before any agency or body including, but not limited to, the City Council of the City or any court as to the exercise by the City of such right to disqualify or as to any disqualification by reason of real or apparent conflict of interest determined by the City. The City reserves the right to replace the disqualified Offeror.

EVALUATION OF COMPETITIVE SEALED OFFERS:

The City will use its discretion in applying the following processes to this solicitation. Any ties in scoring will be resolved with a best and final price request and the lowest price will prevail.

DETERMINING RESPONSIVENESS AND RESPONSIBILITY:

1.1 Offers will be reviewed for documentation of minimum qualifications, completeness, and compliance with the Solicitation requirements. The City reserves sole discretion to determine responsiveness and responsibility.

1.2 Responsiveness: Nonresponsive Offers will not be considered in the evaluation process. The solicitation states criteria that determine responsiveness, and the solicitation includes terms and conditions that if included or excluded from Offers (as the case may be) will render an Offer nonresponsive.

1.3 Exceptions, conditions, reservations, or understandings are presumed to be unacceptable, and an Offer that includes unacceptable exceptions, conditions, reservations, or understandings may be rejected as nonresponsive. Alternatively, the City in its sole discretion may instruct in writing that any Offeror remove the conditions, exceptions, reservations, or understandings. If the Offeror fails to do so in writing, the City may determine the Offer to be nonresponsive.

1.4 Responsibility: To obtain true economy, the City must conduct solicitations to minimize the possibility of a subsequent default by the consultant, late deliveries, or other unsatisfactory performance that may result in additional administrative costs. It is important that the Offeror be a responsible contractor. Responsibility includes the Offeror's integrity, skill, capacity, experience, and facilities for conducting the work to be performed.

1.5 The Procurement Officer, in consultation with legal counsel, will review each Offer to determine if the Offeror is responsible. The City's determination as to whether an Offeror is responsible will be based on the information furnished by the Offeror, interviews (if any), any information at the City's request, information in any best and final offer, and information received from Offeror's references, including information about Offeror's past history, terminations for convenience or cause, contract breach lawsuits or notices of claim and any other sources the City deems appropriate. Award of the Contract resulting from the Solicitation will not be made until any necessary investigation, which each Offeror agrees to permit by submitting its Offer, is made by the City as it deems necessary. A review of responsibility may occur up to contract award.

1.6 The Offeror's unreasonable failure to promptly supply information in connection with an inquiry with respect to responsibility may be grounds for a determination of non-responsibility with respect to such Offeror.

DETAILED EVALUATION OF OFFERS AND DETERMINATION OF COMPETITIVE RANGE:
During deliberations, the Evaluation Panel will reach a consensus score for each evaluation criterion. The consensus scores will determine the Offerors' rankings, and which Offers are within the Competitive Range, when appropriate.

OFFERS NOT WITHIN THE COMPETITIVE RANGE:
The City may notify Offerors of Offers that the City determined are not in the Competitive Range.

DISCUSSIONS WITH OFFERORS IN THE COMPETITIVE RANGE:

1.1 The City will notify each Offeror whose Offer is in the Competitive Range or made the 'short list' and provide in writing any questions or requests for clarification to the Offeror. Each Offeror so notified may be interviewed by the City and asked to discuss answers to written or oral questions or provide clarifications to any facet of its Offer. The Offerors in the competitive range may be required to provide a demonstration of their product.

1.2 Demonstrations - Offerors in the competitive range may be invited to construct a hands-on sample or presentation of their solution at the City of Phoenix. In addition, each finalist may prepare and deliver a presentation of their proposed solution based on the script developed by the evaluation panel. The City may also require a hands-on lab demonstration designed specifically for the evaluation panel. The results of the surveys will be tabulated and delivered to the evaluation team for the final review and solution selection session(s).

1.3 If an Offer in the Competitive Range contains conditions, exceptions, reservations, or understandings to or about any Contract or Solicitation requirement, the City may discuss or negotiate the conditions, exceptions, reservations, or understandings during these meetings. But the City in its sole discretion may reject any and all conditions, exceptions, reservations and understandings, and the City may instruct any Offeror to remove the conditions, exceptions, reservations, or understandings. If the Offeror fails to do so, the City may determine the Offer is nonresponsive, and the City may revoke its determination that the Offer is in the Competitive Range.

1.4 To the fullest extent permitted by law, the City will not provide any information, financial or otherwise, to any Offeror about other Offers received in response to this solicitation. During discussions with Offerors in the Competitive Range, the City will not give Offerors specific prices or specific financial requirements that Offerors must meet to qualify for further consideration. The City may state that proposed prices are too high with respect to the marketplace or otherwise unacceptable. Offerors will not be told of their relative rankings before Contract award.

BEST AND FINAL OFFERS (BAFO):

1.1 A BAFO is an option available for negotiations. Each Offeror in the Competitive Range, which is determined in the City’s sole discretion, may be afforded the opportunity to amend its Offer and make one BAFO.

1.2 If an Offeror’s BAFO modifies its initial Offer, the modifications must be identified in the BAFO. The City will evaluate BAFOs based on the same requirements and criteria applicable to initial Offers. The City will adjust appropriately the initial scores for criteria that have been affected by Offer modifications made by a BAFO. Based on the criteria defined in the solicitation as weighted, the City will then perform final scoring and prepare final rankings.

1.3 The Evaluation Panel will recommend the Offer that is the best value and most advantageous to the City based on the evaluation criteria.

The City reserves the right to make an award to an Offeror whose Offer is the highest rated, best value, and most advantageous to the City based on the evaluation criteria, without conducting written or oral discussions with any Offeror, without negotiations, and without soliciting BAFOs.

SUBMITTALS:

COPIES:
Please submit one (1) original of the Submittal Section and all other required documentation via email.

Please submit only those documents outlined in the Submittal Section, do not submit a copy of the entire solicitation document. This offer will remain in effect for a period of 180 calendar days from the opening date and is irrevocable unless it is in the City's best interest to release offer(s).

Documents shall be submitted in Portable Document Format (PDF). Please organize attachments into a folder with files listed under appropriate section title. Multiple email submissions with documents following the initial email will not be accepted. **The complete submission should be contained in one email.** Contact the Procurement Officer listed on the cover page if your PDF attachments exceed the mail server's size limit, and your email cannot be sent.

2. HOW TO SUBMIT ELECTRONICALLY:
Step 1: Put together your offer documents in PDF format. Submit each section in PDF file(s) as outlined in Section 4 below

Step 2: Enter hsdprocurement@phoenix.gov in the "To" field.

Step 3: Enter the Solicitation Title and Number and your company name in the "Subject" field

Step 4: Include in the body of the email that you are submitting in response to the identified solicitation.

Step 5: Attach all applicable documents for your submission.

Step 6: Click "Send." Once submitted, the submission will be deemed a complete submission.

3. OFFER SUBMITTAL FORMAT:

The written Offer should be:

- Typewritten for ease of evaluation.
- Signed by an authorized representative of the Offeror.
- Submitted with contact information for the individual(s) authorized to negotiate with the City.
- Submitted with a table of contents with the following:

Section 1 General Information
Section 2 Requirements implemented on a robust, secure, and managed platform
Section 3 Proven Methodology
Section 4 Cost
Section 5 Organization experience and capacity
Section 6 Other Required Submittals (Attachments A-J)
Section 7 Signed Addenda, if applicable

4 OFFER SUBMITTAL CONTENT: The Offer shall include the following information and must be submitted in the following sequence.

4.1. Section 1 – General Information

In this Section, Offeror shall provide one page with the following information: Full company name, address, phone number, and the name and email address of your contact person for the offer. Do not include additional information.

4.2. Section 2 – Requirements implemented on a robust, secure, and managed platform **(400 Maximum Points)**

Please describe in detail:

- Capability rating and narrative for functional and non-functional requirements
- High-level technical architecture diagrams (application, storage, computing, network security, monitoring, etc.) demonstrating that resources and processes exist to ensure performance, reliability, recoverability, and security of the system
- Completed security assessment

4.3 Section 3 – Proven Methodology (200 Maximum Points)

In this Section, Offeror shall provide a narrative response that addresses your organization's experience, and the method of approach:

- Proposed Project team structure including City of Phoenix resources. Please make sure minimum staffing requirements are met.
- Deliverable timeline
- Sample sprint plan
- Sample user stories and wireframes
- Sample test plans, templates, and test automation if any
- Sample training plans – what is included, training delivery, etc.
- Sample go live criteria and checklist
- Support team structure for 1st month after launch and thereafter
- Overview of change control and quality control after launch
- Overview of DevOps practices used

4.4 Section 4 – Cost (200 Maximum Points)

- Implementation and first year cost
- Year 2, 3, 4 and 5 support and hosting costs
- System enhancement costs to support periodic grant changes and provisions of new grants. The change is accomplished using a combination of configuration, programming and report development.

4.5. Section 5 – Organization Experience and Capacity (200 Maximum Points)

- For 3 similar projects completed in last 5 years, describe high-level scope, timeline, FTEs and budget
- What is your earliest start date and whether any key resources are also involved in other projects?
- Include experience level of resources involved in project and support. Minimum project staffing at 75% or more FTE for each position thru the duration of the project: project manager (one), business analysts (two), full stack software developers (two), and tester (one)

4.6. Section 6 – Other Required Submittals

In this Section, Offeror shall complete and submit the following documents:

- Attachment A – Offer Form
- Attachment B – Certification Regarding Debarment, Suspension, and Other Ineligibility and Voluntary Exclusions
- Attachment C – Confidential Information Form
- Attachment D – Solicitation Conflict & Transparency Disclosure Form
- Attachment E – Authority to Sign Documents
- Attachment F – References
- Attachment G – Payment Terms and Options
- Attachment H - Assurances
- Attachment I - Affidavit of Lawful Presence by Mail (English)
- Attachment J – Data Security and Privacy Questionnaire
- Attachment K – Proposal Submittal Affidavit
- Attachment L – State and Local Fiscal Recovery Fund Award Letter

4.7 Section 7 – Signed Addenda

In this Section, Offeror must acknowledge receipt of all solicitation addenda, if applicable, by signing and submitting the addenda with their offer.

EXHIBITS:

EXHIBIT A - INSURANCE AND INDEMNIFICATION

1. DEFENSE AND INDEMNIFICATION CLAUSE:

Consultant (“Indemnitor”) must defend, indemnify, and hold harmless the City of Phoenix and its officers, officials (elected or appointed), agents, and employees (“Indemnitee”) from and against any and all claims, actions, liabilities, damages, losses, or expenses (including but not limited to court costs, attorney fees, expert fees, and costs of claim processing, investigation and litigation) of any nature or kind whatsoever (“Losses”) caused, or alleged to be caused, in whole or in part, by the wrongful, negligent or willful acts, or errors or omissions of Indemnitor or any of its owners, officers, directors, members, managers, agents, employees or subcontractors (“Indemnitor’s Agents”) arising out of or in connection with this Contract. This defense and indemnity obligation includes holding Indemnitee harmless for any Losses or other amount arising out of or recovered under any state’s Workers’ Compensation Law or arising out of the failure of Indemnitor or Indemnitor’s Agents to conform to any federal, state, or local law, statute, ordinance, rule, regulation, or court decree. Indemnitor’s duty to defend Indemnitee accrues immediately at the time a claim is threatened or a claim is made against Indemnitee, whichever is first. Indemnitor’s duty to defend exists regardless of whether Indemnitor is ultimately found liable. Indemnitor must indemnify Indemnitee from and against any and all Losses, except where it is proven that those Losses are solely as a result of Indemnitee’s own negligent or willful acts or omissions. Indemnitor will be responsible for primary loss investigation, defense and judgment costs where this indemnification applies. In consideration of the award of this Contract, Indemnitor agrees to waive all rights of subrogation against Indemnitee for losses arising from or related to any work performed by Indemnitor or Indemnitor’s Agents for the City of Phoenix. The obligations of Indemnitor under this provision survive the termination or expiration of this Contract.

2. CONTRACTOR’S INSURANCE:

Consultant and subcontractors must procure insurance against claims that may arise from or relate to performance of the work hereunder by Consultant and its agents, representatives, employees and subcontractors. Consultant and subcontractors must maintain that insurance until all their obligations have been discharged, including any warranty periods under this Contract.

The City in no way warrants that the limits stated in this section are sufficient to protect the Consultant from liabilities that might arise out of the performance of the work under this Contract by the Consultant, its agents, representatives, employees or subcontractors and Consultant may purchase additional insurance as they determine necessary.

2.1. **SCOPE AND LIMITS OF INSURANCE:** Consultant must provide coverage with limits of liability not less than those stated below. An excess liability policy or umbrella liability policy may be used to meet the liability limits provided that (1) the coverage is written on a “following form” basis, and (2) all terms under each line of coverage below are met.

Commercial General Liability – Occurrence Form

General Aggregate	$2,000,000
Products – Completed Operations Aggregate	$1,000,000
Personal and Advertising Injury	$1,000,000
Each Occurrence	$1,000,000

- The policy must name the City of Phoenix as an additional insured with respect to liability for bodily injury, property damage and personal and advertising injury with respect to premises, ongoing operations, products and completed operations and liability assumed under an insured contract arising out of the activities performed by, or on behalf of the Consultant related to this Contract.

- There shall be no endorsement or modification which limits the scope of coverage or the policy limits available to the City of Phoenix as an additional insured.

- City of Phoenix is an additional insured to the full limits of liability purchased by the Consultant.

- The Consultant's insurance coverage must be primary and non-contributory with respect to any insurance or self-insurance carried by the City.

2.1.1. Worker's Compensation and Employers' Liability

Workers' Compensation	Statutory
Employers' Liability:	
Each Accident	$100,000
Disease – Each Employee	$100,000
Disease – Policy Limit	$500,000

- Policy must contain a waiver of subrogation against the City of Phoenix.

- This requirement does not apply when a contractor or subcontractor is exempt under A.R.S. §23-902(E), **AND** when such contractor or subcontractor executes the appropriate sole proprietor waiver form.

2.1.3. Technology Errors and Omissions Liability

Each Claim	$1,000,000
Annual Aggregate	$1,000,000

- The policy must cover errors and omissions or negligent acts in the delivery of products, services, and/or licensed programs for those services as defined in the Scope of Services of this Contract.

- Consultant warrants that any retroactive date under the policy must precede the effective date of this Contract; and that either continuous coverage will be maintained, or an extended reporting period will be exercised for a period of two (2) years beginning at the time work under this Contract is completed.

2.1.4. Network Security and Privacy Liability (required if Consultant has access to personal or confidential data.)

Each Claim	$1,000,000
Annual Aggregate	$1,000,000

- Policy must cover (1) third party claims and losses with respect to network risk and invasion of privacy (2) crisis management and third-party identity theft response costs and (3) cyber extortion

- Consultant warrants that any retroactive date under the policy must precede the effective date of this Contract; and that either continuous coverage will be maintained, or an extended reporting period will be exercised for a period of two (2) years beginning at the time work under this Contract is completed.

2.2. **NOTICE OF CANCELLATION:** For each insurance policy required by the insurance provisions of this Contract, the Consultant must provide to the City, within 5 business days of receipt, a notice if a policy is suspended, voided or cancelled for any reason. Such notice must be mailed, emailed, or hand delivered to **(City of Phoenix Department Representative's Name & Address & Fax Number).**

2.3. **ACCEPTABILITY OF INSURERS:** Insurance is to be placed with insurers duly licensed or authorized to do business in the state of Arizona and with an "A.M. Best" rating of not less than B+ VI. The City in no way warrants that the required minimum insurer rating is sufficient to protect the Consultant from potential insurer insolvency.

2.4. **VERIFICATION OF COVERAGE:** Consultant must furnish the City with certificates of insurance (ACORD form or equivalent approved by the City) as required by this Contract. The certificates for each insurance policy are to be signed by a person authorized by that insurer to bind coverage on its behalf.

All certificates and any required endorsements are to be received and approved by the City before work commences. Each insurance policy required by this Contract must be in effect at or prior to commencement of work under this Contract and remain in effect for the duration of the project. Failure to maintain the insurance policies as required by this Contract or to provide evidence of renewal is a material breach of contract.

All certificates required by this Contract must be sent directly to **(City Department Representative's Name and Address)**. The City project/contract number and project description must be noted on the certificate of insurance. The City reserves the right to review complete copies of all insurance policies required by this Contract at any time**. DO NOT SEND CERTIFICATES OF INSURANCE TO THE CITY'S RISK MANAGEMENT DIVISION.**

2.5. **SUBCONTRACTORS:** Consultant's certificates shall include all subcontractors as additional insureds under its policies **OR** Consultant shall be responsible for ensuring and verifying that all subcontractors have valid and collectable insurance. At any time throughout the life of the contract, the City of Phoenix reserves the right to require proof from the Consultant that its subcontractors have insurance coverage. All subcontractors providing services included under this Contract's Scope of Services are subject to the insurance coverages identified above and must include the City of Phoenix as an additional insured. In certain circumstances, the Consultant may, on behalf of its subcontractors, waive a specific type of coverage or limit of liability where appropriate to the type of work being performed under the subcontract. Consultant assumes liability for all subcontractors with respect to this Contract.

2.6. **APPROVAL:** Any modification or variation from the insurance coverages and conditions in this Contract must be documented by an executed contract amendment.

EXHIBIT B – CONSULTANTS INSURANCE CERTIFICATE

EXHIBIT C – SCOPE OF WORK

1.0 Introduction

1.1 Overview

The Human Services Department is seeking a vendor to develop and maintain a cloud-based Case Management System. The system will be a source of record for Client information, financial and non-financial service delivery, and case management. Additionally, the system will generate reports needed for various grants and allow for ad-hoc reporting of all data entered. Case Management should be implemented for the following programs: Family Services Center, Victim Services, Landlord and Tenant Counseling.

Vendor will be responsible for full system lifecycle of the Case Management System including design, coding, ensuring that all features are fully tested, product launch, end user training and ongoing support and maintenance. Post launch, vendor shall make resources available to develop any system enhancements necessary for ongoing operations. Vendor will work with designated staff to gather all the requirements and obtain signoff both during initial implementation and for future system enhancements.

1.2 Product Perspective

Family Services Center Program

The City of Phoenix's Human Services Department operates 3 Family Service Centers. Approximately 100 employees staff the operations. Staff roles include Clerical, Caseworker, Supervisor, Administrative and Fiscal functions.

In 2021, approximately 8,714 households have been provided utility and rent/mortgage emergency assistance and approximately $23.5 million has been expended. The program also provides case management services to residents.

Residents contact the main center line to obtain an appointment slot to request emergency assistance.

Individuals with an appointment complete a questionnaire and provide necessary documentation either in person or online through a portal.

Caseworker Staff will work with the Client to assess the need and determine the services available. Clients willing to participate will go through the case management pathway.

Grant and other funds used for payments should follow applicable guidelines. Review and reconciliation of services are performed by Administrative and Fiscal Staff. Payments to vendors including utilities and landlord/mortgage companies are processed through a city-wide accounting system.

Clients are also provided gift cards, bus vouchers, household materials, etc. The system should provide ability to track inventory of on-hand and issued items.

If case management services will be offered, the system will generate a case plan to help track goals, tasks and outcomes. Scope of the system includes tracking of incoming and outgoing referrals.

Staff will generate predefined reports and use the ad hoc reporting feature to assist in meeting grant requirements and manage operations.

Victim Services/Family Advocacy Center Program

The City of Phoenix's Human Services Department operates 1 Family Advocacy Center. Approximately 20 employees staff the operations. Staff roles include Clerical, Caseworker, Supervisor, Administrative and Fiscal functions.

In 2021, approximately 4,355 individuals have been provided comprehensive services to victims of domestic and sexual violence, homicide, and other violent crimes, in addition to case management services. Annually more than 50,000 services have been provided.

Clients may contact the Family Advocacy Center by phone or walk-in to receive services.

Caseworker Staff work with the Client to assess the need and determine appropriate services.

Scope of the system includes tracking of incoming and outgoing referrals.

Clients are also provided gift cards, bus vouchers, household materials, etc. The system should provide ability to track inventory of on-hand and issued items.

Staff will generate predefined reports and use the ad hoc reporting feature to assist in meeting grant requirements and manage operations.

Landlord and Tenant Program

The City of Phoenix's Human Services Department operates the Landlord and Tenant Program (LTP). Approximately 5 employees staff the operations. Staff roles include Clerical, Counselor, Supervisor, Administrative and Fiscal functions.

In 2021, approximately 4,000 residents (Landlord and Tenants) were provided with educational services related to the Arizona Landlord and Tenant Residential Act. Landlord and Tenant Program also offers emergency financial assistance to City of Phoenix eligible residents.

Residents contact the Landlord and Tenant program either by phone or email to schedule an appointment to request assistance.

Individuals with an appointment complete an Intake sheet and provide necessary documentation either in person or online through a portal.

Counselor Staff will work with the resident to assess the need and determine the educational need and necessary referrals. The program also provides Tenant Emergency funds to clients needing rent/mortgage/utility assistance.

Grant and other funds used for payments should follow applicable guidelines. Review and reconciliation of services are performed by Administrative and Fiscal Staff. Payments to vendors including utilities and landlord/mortgage companies are processed through a city-wide accounting system.

Staff will generate predefined reports and use the ad hoc reporting feature to assist in meeting grant requirements and managing operations.

1.2.1 Definitions:

- Appointment – A time scheduled to assess an individual's circumstances to determine eligibility for clients who are in imminent need of services. Multiple appointment types are provided by program services.
- Case File – A digital form used to document a client's request and assistance provided during a set period of time.
- Primary Client – The main individual requesting assistance from the City of Phoenix.
- Household Member – Any individual living with the Primary Client in the same residence.
- FPG (Federal Poverty Guideline) – A measure of income issued every year by the Department of Health and Human Services (HHS). Federal poverty levels are used to determine your eligibility for certain programs and benefits.
- AMI (Area Median Income) – The midpoint of a specific area's income distribution and is calculated on an annual basis by the Department of Housing and Urban Development.
- SMI (State Median Income) – An annual income figure representing the point at which there are as many families earning more than that amount as there are earning less than that amount.
- House Bill – A process that consists of a compliance form and documentation to establish an individual's proof of legal presence. Arizona Revised Statutes, Section 1-501 and 46-140.01 require local governments to determine the identity and citizenship and/or immigration status of persons applying to receive public benefits.
- Payment Reissues – Commonly needed when a check has expired, and no other changes are required.
- Payment Reversals – Are commonly needed when a correction is needed for vendor information or dollar amount. Reversals requires Caseworker Staff to re-enter service information for the reissue process.
- VOCA (Victims of Crime Act) – Monies provided to the program.
- CSBG (Community Services Block Grant) – Monies provided to the program.
- CDBG (Community Development Block Grant) – Monies provided to the program.
- Self Sufficiency Matrix – Rating scale used to assess household situations in various areas such as housing, employment, income, education, support networks, etc. This information will be used by Caseworker Staff to determine appropriate services and referrals for an individual.
- Grant/Fund – Money or resources provided by grants issued by federal, state and local entities. The program must comply with applicable grant requirements.
- SAP – Accounting system used by the City of Phoenix.
- DES (Arizona Department of Economic Security) – A partner agency of the City of Phoenix.

1.3 Product Functions including User Classes

Family Services Center Program

1. Clerical Staff – Responsible for booking appointments.
2. Caseworker Staff – Manage appointments, import intake information from a third-party portal, maintain client information in case files, and drive service delivery to clients.
3. Supervisor Staff – Appointment generation, review and approve services, manage gift card/bus pass inventory.
4. Administration Staff (FAS) – Review services for payment processing, setup fund/service rules and manage other system features.
5. Fiscal Staff – Perform payment processing and reconciliation, maintain vendor information.
6. All Staff - Reports are run for all data collected including client information and service information.
7. IT Support Staff – Perform system admin duties including managing access roles.

Victim Services/Family Advocacy Center Program

1. Clerical Staff – Responsible for entering quick services provided to the client and reconcile taxi vouchers.
2. Caseworker Staff – Maintain client information in case files and drive service delivery to clients.
3. Supervisor Staff – Review and audit client case files, and issue gift cards.
4. Administration Staff (FAC) – Setup fund/service rules, manage other system features and maintain gift card vendor information.
5. Fiscal Staff – Perform payment processing and reconciliation for gift cards.
6. All Staff - Reports are run for all data collected including client information and service information.
7. IT Support Staff – Perform system admin duties including managing access roles.

Landlord and Tenant Program

1. Resident – Enters intake information and uploads documentation online.
2. Clerical Staff – Responsible for booking appointments.
3. Counselor Staff – Manage appointments, maintain resident information, and drive service delivery to residents.
4. Supervisor Staff – Review and approve services.
5. Administration Staff (LTP) – Review services for payment processing, set up fund/service rules and manage other system features.

6. Fiscal Staff – Perform payment processing and reconciliation and maintain vendor information.
7. All Staff - Reports are run for all data collected including client information and service information.
8. IT Support Staff – Perform system admin duties including managing access roles.

Please refer to the functional and non-functional section requirements below for detailed information.

1.4 Deliverables

The following deliverables are necessary for a complete and successful implementation. Vendor will work with City staff to create an implementation schedule and obtain signoff for each deliverable before proceeding to the next deliverable. Each deliverable must be to the City's satisfaction.

1. Documented use cases
2. Proof of successful user acceptance testing (shall cover all use case scenarios)
3. Staff training
4. Product launch on a certified cloud platform

2.0 Requirements

Offeror should complete the requirements section by rating the capabilities of their proposed solution against the specific requirements defined. Please use the Capability Value scoring provided below to respond to each requirement. There may be requirements that do not require a rating. Such fields will be marked as “Do Not Rate” by the Customer only. In addition, Offeror must provide a narrative for each requirement where Offeror responds with a capability value of 1, 2, 3, or 4. A narrative is required to understand the Offeror’s solution capabilities that meet each specified requirement.

Capability Value Rating Criteria for Offeror Response to Requirements

Capability Value	Description
0	Functionality Not Provided: Solution does not meet requirement, even with a third-party solution.
1	Functionality Provided but Requires Integration with Third Party: Solution requires third party hardware/software solution to meet requirement. Please name and identify third party solution required in the Description and/or Comments field
2	Functionality Provided but Requires Extensive Configuration: Implies that solution requires configuration and programming in excess of three weeks and/or 120hrs to deliver the requirement.
3	Functionality Provided Out-Of-The-Box: The Offeror provides the functionality from its existing code base and basic/minimal configuration may be required to deliver requirement.

NOTE: Neglecting to provide a capability value rating for any requirement and/or not providing a written narrative as instructed will be interpreted as nonresponsive. The following table sets forth requirements which include a combination of business and technology requirements (functional and non-functional).

Rating the capabilities of the Offeror’s proposed solution against security and privacy requirements requires the City of Phoenix Information Security and Privacy Office (ISPO) to gather information and assess the current maturity of the security program and privacy program implemented across the Offeror and the City of Phoenix. Assessing security program and privacy program maturity requires the completion of a questionnaire based on the latest version of the National Institute of Standards and Technology (NIST) Cybersecurity Framework's and Privacy Framework’s core functions, categories, and subcategories. This questionnaire is provided by ISPO upon request.

2.1 Functional Requirements – Family Services Center Program

2.1.1 Appointment Slot Generation: Administrative Staff generate one-hour daily appointment slots for various appointment types (Rent, Utility, Case Management, etc.) for 3 Family Service Center locations. The type and number of daily appointment slots are determined based on funding and staff availability. Caseworker Staff are assigned to the slots by Administrative Staff. Appointments are held virtually and in-person.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Provide reports for fiscal year funds spent and available for rent and utility appointment types by location. This information will be used to calculate the current week's financial assistance appointment slots.		
2	Provide a report for previous 24 months of weekly slots by appointment type to assist in trend analysis.		
3	Provide a screen where Administrative Staff can enter various financial assistance appointment types needed for hourly slots for the current week (Hourly Slots: 7am, 8am, 9am, 10am, 11am, 1pm 2pm, 3pm, 4pm). This action should generate slots which can be assigned to Caseworker Staff. See Exhibit D - 2.1.1.3		
4	Caseworker should be able to choose appointments they can serve for generated appointment slots based on their availability. This feature should have the ability to be turned on and off by Administrative Staff.		
5	Administrative Staff finalize the assignments and schedule which secures the appointment slots from any assignment changes by Caseworker Staff.		
6	Administrative Staff can generate new appointment slots on an ad-hoc basis.		
7	Printable schedules by location or individual staff.		

8	Caseworker dashboard should display the schedule for the week. Supervisor Staff and above can view Caseworker Staff schedule using various filters.		

2.1.2 Weekly Appointment Booking: Residents needing assistance with utility or rent call the main line and make an appointment at one of the 3 Family Service Centers. Clerical staff answering the phones search for a free appointment type for assistance requested and place the client in that slot. Most of the slots are booked on Mondays with remaining few booked on rest of the days.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Clerical Staff can book an appointment for an open slot. The following information is collected for each resident: First Name, Last Name, Middle Initial, Gender, social security number (generate pseudo if none provided), date of birth, phone # and email address, Physical Address, etc.		
2	Client information is updated if the record already exists in the system. This allows tracking of history for all appointments for a specific Client.		
3	Provide ability for Clerical Staff to view prior service information for the client they are booking.		
4	Appointment slot is blocked while Clerical Staff are speaking to the resident and entering information into the appointment slot details.		
5	When a booking is completed, a third-party portal API should be called to send appointment information which includes Client Name, Email, Date of Birth, Appointment Date/Time, Location, Assigned Caseworker. The resident will use the portal to register and complete a questionnaire. All related appointments use the original appointment ID when sending information to the third-party portal API.		
6	The following rules need to be applied to booking: 1. No duplicate financial assistance appointments in the same week 2. Other business rules as applicable		

2.1.3 Appointment Management: Staff have the ability to view and manage appointments at various locations. New appointments can be created, and existing appointments updated as needed including cancellation.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Provide a listing of all appointments that can be sorted and filtered. This list includes appointments generated and manually created.		
2	Provide appointment Create, Edit and Cancel based on staff access role.		
3	Fields for Appointment: Client Name, Date/Time, Type (DD), Location, Caseworker, Prescreen Caseworker, Interpreter Required Checkbox, Is Return Appointment Checkbox, Appointment Outcome, etc.		
4	Provide ability to link an appointment to a Client case file.		

2.1.4 Client Search: Staff search and filter clients for a given criteria in preparation for service delivery.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Provide ability to search for Clients using the following fields: Last Four of SSN, First Name, Last Name, Date of Birth, Client ID (Internal), Case ID (Internal), Address, other fields as determined.		
2	Provide listing of case files and associated services for each selected Client.		
3	The listing of case files and associated services can be filtered and sorted.		

2.1.5 New Case File Generation: This section is part of the Client Case File. The case file holds Client information and services provided during a period of time. The client will have one or more appointments for a given case file as needed to complete the evaluation.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Creating a case file should generate the appropriate screens needed to track client information, service information, and case management.		
2	Only staff with appropriate access are allowed to create a case file or update information.		

2.1.6 Case Management Summary: This section is part of the Client Case File. Caseworker Staff capture household summary information such as Family Type, Housing Type, Income Summary, Family Size, Presenting Problem (Reason for Assistance), etc.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Fields for Case Management Summary: Number of Household Members by Type (Adult, Children, Elderly), Presenting Problem, Housing Type, Family Type (DD), Source, Case Open Date, Case Closed Date, Case Status, Council District, etc.		
2	Read only fields carried from other screens for staff reference: Family Size, Income, FPG, AMI, Address, Contact Info (Email and Phone Number for Primary Client), etc.		

2.1.7 Household Members: This section is part of the Client Case File. Caseworker Staff capture information for the Primary applicant and other household members. Members need to be unique as determined by their Social Security Number and must be part of the household at the time the assistance was requested.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Fields for Household Members: First Name, Last Name, Date of Birth, Social Security Number (Unique), Race, Gender, Email Address, Home Address, Latino Status, Marital Status, Insurance Type (DD), Disability Status, Military Status, Veteran Status, Work Status, Preferred Language, Media Release, Independent Living Status, Educational Status, etc. *Some fields are disabled based on certain criteria (ex. Age)		

2.1.8 Household Income: This section is part of the Client Case File. Caseworker Staff capture the complete 30-day history of income needs to have all cash and non-cash inputs to complete it. This income history directly affects whether a client will be eligible for case funding or not.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Fields for Income Summary: No Income Checkbox (If none to report) for each household member 18 and older. Non-Cash Benefits, Non-Cash Types, Additional Fields as Needed.		
2	Fields for Individual Income: Income Recipient Name, Income Type (Employment, Social Security, etc.), Pay Frequency, Date Income Received, Income Amount, Income Source (SSA, etc.), Earned Income Checkbox, Income Verification Type, Include for CSD checkbox, HS eligibility checkbox, Medicare Deduction and Other Allowable Deductions, etc.		
3	Show a summary of FPG, AMI, SMI, plus any income limits set by various grants.		
4	Show a summary of FPG, AMI, SMI, plus any income limits set by various grants with deductions.		

2.1.9 Self Sufficiency Matrix: This section is part of the Client Case File. Caseworker Staff gather information from the client to determine the level of self-sufficiency in areas such as income, employment, housing, healthcare, etc. Self-sufficiency is assessed at the opening and closing of the case, in addition to intervals as determined by Caseworker Staff.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Assessment Types: 1. Case Management, see Exhibit D - 2.1.9.1.A 2. Financial Assistance, see Exhibit D - 2.1.9.1.B 3. Quick Assessment For each Assessment Type: Assessment Sub-Type (DD), Opening, Review, and Closing		
2	For each of the domains in an assessment, record the matrix score (DD, 1-10) and staff evaluation; provide a templated evaluation that staff can customize.		
3	Administrator Staff can edit or delete assessment questions, scoring and templates.		

2.1.10 Proof of Legal Residency: This section is part of the Client Case File. Caseworker Staff verify the Primary applicant proof of legal residency as required by the grant and sign compliance checklist (a House Bill 2008 or equivalent).

Item #	Requirement	Capability Value (0-4)	Narrative
1	System should recognize documents by type and check against the Fund and Compliance Checklist.		
2	Generate a printed report for the Caseworker to sign electronically, see Exhibit D - 2.1.10.2 (Form 2008, A.R.S. Section 1-501 COMPLIANCE CHECKLIST)		

2.1.11 Collateral Contact: This section is part of the Client Case File. Caseworker Staff work with the client to complete collateral contact forms. There are currently 4 types of forms Utility, General, Landlord, and Client Statement of Truth.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Fields for Utility Vendor Collateral Contact: Vendor Name, Appointment Date, Contact Name, Contact Phone Number, Notes, Account Number, Recent 30-Day Usage/Bill, Name on Bill, Name of Contact, Phone Number, Guaranteed With, Fund(s), Information Obtained, etc.		
2	Fields for General Collateral Contact: Applicant Name, Date, Agency Name, Contact Name, Contact Phone Number, Contact Title, Information Obtained, etc.		
3	Fields for Landlord Collateral Contact: Household Member (DD), Landlord Search (Sourced from Vendor Setup), Landlord Name (DD), Landlord Contact, Lease Terms (DD), Lease Begin Date, Lease End Date, Total Amount Owed, Rent Amount, Information Obtained, etc.		
4	Fields for Statement of Truth: Statement Date, Person Name, Statement, etc. This should be printable and signed by the Client or validated by Caseworker Staff per Client's verbal attestation.		

2.1.12 Case Plan: This section is part of the Client Case File. Caseworker Staff work with the client to identify goals or tasks for case management.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Fields for Overall Plan Objective: Objective Name (DD), etc.		
2	Fields for Plan Goals: Goal Name, Goal Priority, Templated Text based on the self-sufficiency matrix domain, etc.		
3	Fields for Goal Tasks: Task Name and short description, Start Date, Due Date, Responsible Party, Completed Date, Completed By Name, Task Completed By Client, Successful Status, Complete Status, Is Focused On Employment, Templated Text based on the self-sufficiency matrix domain, etc.		
4	Administrative Staff can setup templated text for goals and tasks.		

2.1.13 Utility Financial Assistance: This section is part of the Client Case File. Caseworker Staff will gather information from the client and apply the service and funding rules for utility assistance. Staff will have the ability to void the service and/or reissue a payment.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Caseworker Staff will set the Program Category for the case file. The program category will restrict the services and funds available to the Client.		
2	Fields for Service Type Utility Payment and Utility Deposit: Utility Name, Account Number (pulled from Collateral Contact), Name on Account/Joint (pulled into Client Release of Information form), Address, Utility Payment Status, Date of Service, Caseworker Notes, etc. Multiple rows for payment allocation with the following fields: Fund Name, Amount Used for Payment		
3	Utility Assistance Types: 1. Utility Payment 2. Utility Deposit		
4	This service should follow payment criteria based on the Fund, Service Type, and Program Category. Display real time analysis and alerts using Fund and Service Rules to assist the Caseworker determined funds to use. For instance, Fund ABC max one-time payment is $100, service max is $200 but cannot be used more than once every 12 months. Refer to the Fund Rules under Admin Setup.		
5	Provide an update to Caseworker Staff if the service is automatically approved or pending supervisor approval.		

6	Provide a history of status changes. For example: Submitted, Approved, Rejected, Overridden, Payment Completed, etc.		
7	Caseworker Staff can make changes to services until the service is approved or if the service is rejected by FAS Staff. After approval, changes are restricted to Administrative Staff.		
8	Utility service status is automatically set to "Ready for Fax" unless the fund rule requires supervisory action such as approval.		
9	Service amounts are posted against the appropriate fund balance to maintain a current total balance and prevent over-withdrawn amounts.		
10	Prefilled Client Release of Information (ROI), see Exhibit D - 2.1.13.10		
11	System should ensure the following conditions are met: Income has been entered, Demographic data for all members is completed, completed Self-Sufficiency Matrix, Client has an appointment for the service date, completed House Bill, all required documentation is uploaded, etc.		
12	System should apply the following fund rules: Fund maximum is not exceeded, maximum number of payments is not exceeded, income eligibility, the budgeted amount is not exceeded, fund specific data such as COVID Crisis designation or Child Present, pre-requisite funds used (example: LIHEAP Supplemental), time period restrictions, etc.		
13	Supervisor approval is needed to use funds from a non-home location.		

2.1.14 Rental and Mortgage Financial Assistance: This section is part of the Client Case File. Caseworker Staff will gather information from the client and apply the service and funding rules for rental/mortgage assistance. This service will require approval from the Caseworker Supervisor. This information should be transmitted to the SAP payment system. Staff will have the ability to void the service and/or reissue a payment.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Caseworker Staff will set the Program Category for the case file. The program category will restrict the services and funds available to the Client.		
2	Fields for Service Type Rental Payments: Vendor Name, Mortgage Account, Special Instructions, Eviction Date, Caseworker Notes, etc. Multiple rows for payment allocation with the following fields: Fund Name, Amount Used for Payment		
3	Rental/Mortgage Assistance Types: 1. Hotel / Motel Voucher 2. Mortgage Payment 3. Rent Deposit 4. Rent Payment - Move-In 5. Rental Payments 6. Utilities Included in Rent		
4	This service should follow payment criteria based on the Fund, Service Type, and Program Category. Display real time analysis and alerts using Fund and Service Rules to assist the Caseworker determined funds to use. For instance, Fund ABC max one-time payment is $100, service max is $200 but cannot be used more than once every 12 months. Refer to the Fund Rules under Admin Setup.		
5	Provide an update to Caseworker Staff if the service is automatically approved or pending supervisor approval.		

6	Provide a history of status changes. For example: Submitted, Approved, Rejected, Overridden, Payment Completed, etc.		
7	Caseworker Staff can make changes to services until the service is approved. After approval, changes are restricted to Administrative Staff.		
8	Rent and mortgage service information needs to be sent to SAP to generate checks, ensure required information is included in the transmission. The following day assigned check numbers received from SAP need to be recorded against the service. As future check updates (Example: Check Cashed) are obtained from SAP, the service should be updated as well.		
9	Service amounts are posted against the appropriate fund balance to maintain a current total balance and prevent over-withdrawn amounts.		
10	Upon submission, rent service status is set to “Submitted” and forwarded to Supervisor Staff for approval.		
11	System should ensure the following conditions are met: Income has been entered, Demographic data for all members is completed, completed Self-Sufficiency Matrix, Client has an appointment for the service date, completed House Bill, all required documentation is uploaded, etc.		
12	System should apply the following fund rules: Fund maximum is not exceeded, maximum number of payments is not exceeded, income eligibility, the budgeted amount is not exceeded, fund specific data such as COVID Crisis designation or Child Present, pre-requisite funds used (example: LIHEAP Supplemental), time period restrictions, etc.		
13	Supervisor approval is needed to use funds from a non-home location.		

2.1.15 Non-Financial Assistance: This section is part of the Client Case File. Caseworker Staff will record service details for information and referrals provided to the client. In addition, this section will also track items of monetary value issued to the client such as bus passes, grocery vouchers, etc.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Non-Financial Assistance Types: 1. Bus Passes 2. Clothing Voucher 3. Food Voucher 4. Gasoline Voucher 5. Information 6. Referral 7. Quick Assessment		
2	Details captured for Information and Quick Assessment service types: Service Date, Assistance Type, Caseworker Notes (Example: Information provided), Time Spent by Caseworker Staff, Attachments, etc.		
3	Details captured for Referrals: Partner Agency, Contact Information, Referral Type, etc. Provide ability to generate, manage and send referrals to other agencies. See Exhibit D - 2.1.15.3		
4	Details captured for Passes, Vouchers, and Household Goods: Vendor Name, Item Type, Item Count, Caseworker Notes, etc. Enforce max limits for goods, passes and vouchers.		
5	As new non-financial services are developed system should allow related fields and provide for reporting.		

6	Provide an update to Caseworker Staff if the service is automatically approved or pending supervisor approval.		
7	Provide a history of status changes. For example: Submitted, Approved, Rejected, Overridden, Payment Completed, etc.		
8	Caseworker Staff can make changes to services until the service is approved. After approval, changes are restricted to Administrative Staff.		

2.1.16 Incoming Referral Tracking: This feature provides tracking for referrals sent to the program and their disposition.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Dashboard for a program level summary. 1. Program Level Summary 2. Referrals Needing Assignment 3. List of the users (Caseworker Staff) assigned referrals		
2	Fields for Referral: Client Information (search for existing clients), Client Name, Client Phone Number, Client Email Address, Client Home Address, Client ID and Social Security Number (to populate if existing client), Notes, Referral Source and Contact Information, Presenting Problem, Referral Date, Outcome, Referral Close Date, Assigned Caseworker, Assigned Center Location, etc.		
3	Provide a capability to search referrals by Client Name and Date of Birth.		

2.1.17 Supervisor Approvals and Overrides: All services marked as requiring supervisor approval cannot proceed without a supervisor's review. Some fund sources allow for overrides of eligibility criteria; multi-level approvals needed based on fund rules.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Provide a listing for Supervisor Staff to view and take action for approvals and overrides.		
2	Supervisor Staff can view the service details, Approve, Reject, enter Override Reason (DD) and Comments.		
3	Supervisor approved check based payments are transmitted to SAP (Status: Needs Check).		
4	Supervisor approved utility services proceed to FAS review (Status: Ready for Fax).		
5	If a service is rejected by the supervisor, Caseworker Staff will be able to edit the service for changes.		

2.1.18 Service and Appointment Summary: This section is part of the Client Case File. This is used to generate Client forms for signature to verify receipt of services.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Provide a Services Today Report, see Exhibit D - 2.1.18.1		
2	Caseworker Staff sets the status/outcome of the appointment from a drop-down list.		
3	Provide a Letter of Guarantee, see Exhibit D - 2.1.18.3		
4	Prefilled Client Release of Information (ROI)		
5	Provide a Child Support Referral Form, see Exhibit D - 2.1.18.5		

2.1.19 FAS Service Review: All utility services require FAS review in order to approve for payment. Services are submitted to the utility vendor manually. Upon verification by the vendor, services are forwarded for Fiscal processing. Services rejected by FAS Staff will allow Caseworker Staff to edit the service information.

Item #	Requirement	Capability Value (0-4)	Narrative
1	FAS Staff should have ability to set individual services to “Rejected” with a note for Caseworker Staff or set the status (multiple services) to “Submitted to the utility vendor”.		
2	Generate a report that can be sorted, filtered and exported to excel. This report will be sent daily to multiple utility companies manually. See Exhibit D - 2.1.19.2		
3	FAS Staff can review services that were submitted to the utility vendor. This page should have ability to set individual services to “Rejected” with a note for Caseworker Staff or set the status (multiple services) to “Submitted to Fiscal”.		

2.1.20 Utility Service Adjustments: All services can be edited or deleted by Caseworker Staff prior to supervisor approval. After approval, any edits, changes or adjustments can only be made by Administrative Staff.

Item #	Requirement	Capability Value (0-4)	Narrative
1	FAS Staff can adjust service amounts posted to a fund cost center. All adjustments made by FAS Staff must be flagged for Fiscal review so that changes can be made in the SAP accounting system. Example: moving a service amount from Fund A to Fund B by FAS Staff.		
2	Maintain a history log for all edits, changes and adjustments made after approval.		

2.1.21 Rent and Mortgage Service Adjustments: All services can be edited or deleted by Caseworker Staff prior to supervisor approval. After approval, any edits, changes or adjustments can only be made by Administrative Staff.

Item #	Requirement	Capability Value (0-4)	Narrative
1	FAS Staff can adjust service amounts posted to a fund cost center. All adjustments made by FAS Staff must be flagged for Fiscal review so that changes can be made in the SAP accounting system. Example: moving a service amount from Fund A to Fund B by FAS Staff.		
2	Provide a check search page where Clerical Staff can request a void. Provide a drop down for Void Reasons and an area for Void Notes.		
3	Provide FAS ability to approve void requests from Clerical Staff. The approval step should credit the appropriate funds and email the Fiscal Team to review the pending void.		
4	Provide ability for Fiscal to mark the check number as voided in SAP. This should email Caseworker Staff to re-enter services. This will enable Caseworker Staff to re-enter the service information, vendor information and amount for resubmission.		
5	Provide history of all service updates after approval. Amount changes, check number changes, vendor changes, and all other fields should track changes.		

2.1.22 Case Notes: This section is part of the Client Case File. Provide ability for Caseworker Staff to make notes in free form text related to case information.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Fields for Case Notes: Note Type, Entered By, Narrative, Private Checkbox, Entered Date, Effective Date, Direct Contact Checkbox, etc.		
2	Read Only Fields for Case Notes: Household Demographics, Case File Information, Income Details, Presenting Problem, Appointment and Service Details (by drop down selection), Referral Details (by drop down selection), Vendor Details from Collateral Contact (by drop down selection), etc.		
3	Case notes should have a note type and a corresponding message template		
4	Case notes should allow for spell check		
5	Case notes should be printable		
6	Case notes should track Day, Time and Username		
7	Case notes should not allow deletions. All submitted notes are Read Only.		

2.1.23 Staffing: Staffing is a process where supervisor and caseworker can discuss potential funding options to provide a service. This is prior to service creation and approval.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Caseworker can select a supervisor who will be notified to review eligibility for service approval.		
2	Fields for Staffing entered by the Caseworker: Income, Household Composition, Amount Owed, House Bill Status, Crisis, Recommendation, etc.		
3	Read Only Fields for Staffing: Previous Service History (pulled from prior records), etc.		
4	Fields for Staffing entered by the Supervisor: Approval, Comments, etc.		

2.1.24 LIHEAP Points: This section is part of the Client Case File. Client income and expenses are used to calculate LIHEAP points in order to decide if LIHEAP related funds can be provided.			
Item #	**Requirement**	**Capability Value (0-4)**	**Narrative**
1	Fields for LIHEAP Point Calculation: Client gross Income for the past 30 days, Gas Cost, Electric Cost, Utility Fees in Rent, Deliverable Fuel Cost, Average Monthly Utility Cost, Monthly Utility Cost, Monthly Gross Income, Percent of Energy Burden, Allowable Payment, Points Fields, Mixed Household Information, etc. See Exhibit D - 2.1.24.1		

2.1.25 EN005: This section is part of the Client Case File. Department of Economic Security requires this additional data at service time if staff are using the funds designated as requiring an EN005. Caseworker Staff will sign the EN005 document.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Fields for EN005: Subsidized Housing Status, Does the Client Make Utility Payments? Status, Amount, Vendor Name, Migrant Farmworker Status, Seasonal Farmworker Status, Receiving Food Stamps Status, Crisis, additional yes/no questions as needed, auto-populated fields from other areas of the case file, etc.		
2	Generate a printed report for the Caseworker to sign electronically, see Exhibit D - 2.1.25.2		

2.1.26 Document Upload: This section is part of the Client Case File. Caseworker Staff will upload the client provided documents (Uploaded through the portal or provided on-site) and assign the appropriate document type and household member. These documents are used to verify the house bill and as proof of income and presenting problem.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Document types: 1. Picture ID 2. Birth Certificate 3. Social Security Card 4. Certificate of US Citizenship 5. Multiple Other Document Types		
2	Fields for Documents for Casefile: Document Type, Household Member, File Type, Date Uploaded, Uploaded By Name, etc.		
3	Provide integrated uploading of documents from a desktop scanner.		
4	System should recognize documents by type and check against the Fund and Compliance Checklist and allowed funds to use.		
5	Household Member documents (ID, Social Security Card, Birth Certificate, etc.) are linked to the client information. These documents are used to verify House Bill requirements. The document type determines the category of legal residency and available funds for use.		
6	Appointment documents (Eviction Notices, Lease Documents, etc.) are linked to the appointment.		
7	Provide document delete function to authorized roles only.		

2.1.27 FSC Portal Integration: The portal will receive appointment information where clients can submit a questionnaire. The portal also provides questionnaire download for import of questionnaire information and documents uploaded by the client.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Send Client information to the portal via API anytime a new appointment is created, or the Client is booked for a second appointment, or the Client cancelled an appointment. The appointments within the same time period should refer to the Questionnaire ID provided by the portal.		
2	Record Questionnaire ID provided by the portal when the appointment information is transmitted by the API.		
3	Download information and documents from the portal via API for a given Questionnaire ID and upload to the appropriate sections in the case file.		
4	Send appointment slots to the portal via API to allow client to book their own appointment.		
5	Received booked appointment slots from the portal via API and update the appointment details with Questionnaire ID and Resident/Client Information.		

2.1.28 FSC Payment Processing and Reporting: Fiscal Staff run reports below to support various actions needed for reconciliation and grant compliance. Administrative and Fiscal Staff review service amounts and take necessary steps to issue payments to vendors which include utility and landlord/mortgage companies. Staff should have the ability to mark items as processed.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Submitted Utilities: Fiscal Staff will have the ability to mark faxed payments as Processed. Fiscal Staff use this report to view a list of utilities that have been faxed and need to be paid. Fiscal summarizes the data by utility company and fund source and exports into excel spreadsheet that is used as an invoice to be processed in SAP. See Exhibit D - 2.1.28.1		
2	CSD Billable Hours List Report: Fiscal Staff use this report to determine what services Caseworkers provide to Clients. We use this for our methodology to know how much Admin money to allocate and bill to DES. This report is exported into Excel for sorting. See Exhibit D - 2.1.28.2		
3	Submitted Purchase Orders Report: Fiscal Staff will have the ability to mark purchase orders as Processed. Fiscal Staff use this report to identify when a check needs to be written for gift card purchases.		
4	Accounting Journal Corrections Report: Fiscal Staff will have the ability to mark journal corrections as Processed. Fiscal Staff use this report to flag when 2 or more fund sources were used to provide a service. The service is paid in		

	SAP to one fund source and Fiscal uses this report to complete a journal entry moving the correct amount of the expenditure to the second fund source used. This report also shows a fund adjustment made after the original service has been processed that requires a journal entry. See Exhibit D - 2.1.28.4		
5	Fund Source Detail Report: Fiscal Staff use this report to view information by Month and Fund Source to export of report of monthly services provided. This report is sent to DES to provide them backup for voucher services that have been billed.		
6	Case Management Report: Fiscal Staff use this report to view information by Month and send to DES. The data in the report is a combination of programmatic and Fiscal data. See Exhibit D - 2.1.28.6		
7	Service Adjustment Report: Fiscal Staff will have the ability to mark service adjustments as Processed. Fiscal Staff use this report to view any fund and/or amount changes made to a service after the service has been entered. The report is used to assist in reconciliation and changes to services billed. See Exhibit D - 2.1.28.7		
8	Fund Balance Report: Fiscal Staff use this report to view all the Fund Source Allocations, Expenditures, Percent of Year and Remaining Balance. The report also shows how the funds have been allocated by Family Service Center.		

2.1.29 FSC Program Reports: Program Staff run reports below to support various actions needed for grant reporting, compliance and operations.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Case Management Report Types: Caseworker, Supervisor, Center Manager, Program, etc. See Exhibit D - 2.1.29.1		
2	Administrative Report Types: Water Report (See Exhibit D - 2.1.29.2-Water), City Manager Dashboard (See Exhibit D - 2.1.29.2-CM Dashboard), Housing In Kind Report (See Exhibit D 2.1.29.2-Choice Voucher), DES performance measures (See Exhibit D - 2.1.28.6), CSBG Reports (See Exhibit D - 2.1.29.2-Annual CSBG), Expenditure Report (See Exhibit D - 2.1.29.2-Expenditure), Board Participation (See Exhibit D - 2.1.29.2-Board Participation), Fund Adjustments (See Exhibit D - 2.1.28.7), Media Interest Report (See Exhibit D - 2.1.29.2-Media Interest)		
3	Ad-hoc reporting capability for all data in the system. We currently use Power BI, see sample reports, see Exhibit D - 2.1.29.3. All reports should have the ability be sorted and filtered. The data should include demographics, services (Non-Financial and Financial), payments, and referrals		

2.1.30 Gift Card Inventory: This is used to record and track gift cards (And other items of monetary value) purchased. At periodic intervals, the information is used to reconcile on-hand inventory, purchased and issued amounts.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Fields for Gift Cards Purchased: Vendor, Quantity, Card Denomination, Purchase Order Number, Purchase By Name, Purchase Date, Attachments (Receipts), etc.		
2	Maintain the on-hand total as gift cards are added or removed from the inventory.		
3	Provide for periodic reconciliation of inventory (verified by two staff members) and maintain a snapshot of the results.		
4	Adjustment for inventory imbalances with audit history.		
5	Provide ability to scan individual gift cards, this will allow each card to be tracked from purchase through service delivery.		
6	Provide ability to submit and approve Purchase Orders for gift cards. Three or more levels of approval are required; Requestor, Approver and Fiscal.		
7	Fields for Purchase Orders: Vendor, Monetary Amount per unit, Number of Units, GL Account to charge, Memo on the purchase, etc.		
8	Provide ability to track inventory transfers.		

2.1.31 Staff Dashboard: A role specific dashboard for caseworker, supervisor, and administrative staff to view items requiring action. This will also provide summary level information using graphs, charts, etc.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Caseworker view includes the following: Open cases, appointments scheduled, fund balances, items submitted to supervisor approval/override, alerts, etc.		
2	Supervisor view includes the following: Staff case load, Staff appointments, fund balances, Staffing requests, items needing approval/override, etc.		
3	Administrative staff view includes the following: Fund balances, center statistics (appointment counts, served counts, etc.), items needing approval/override, etc.		

2.1.32 Admin Functions: Administrative Staff will have the ability to manage client profiles (example: merge), generate audit information, allocate funds to services, transmit data to partner agencies, etc.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Provide ability to merge duplicated client profiles		
2	Generate audit reports which includes client and service data, and client documentation.		
3	Funds get allocated every Fiscal Year to each location. Funds are also reallocated as needed. These allocations will spend down via services.		
4	Provide a report with the spend down of the fund vs how many weeks of the fiscal year has passed. This report should also include staff count and average service amount.		
5	Provide a data interface to transmit grant information to Wildfire GMS.		
6	Provide data interface to partner agencies as needed to exchange client and service information. We currently have an interface to DES.		

2.1.33 Admin Setup: Administrative Staff should be able to configure the following sections: Self-Assessment Matrix, Case Note Types, Service and Funding Rules.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Housing Assistance service types below should be supported. Allow a payment max. Housing payments require supervisor approval. Rent Payment - Move-In, Rent Payment - Eviction Prevention, Rent Deposit, Rental Payments, Mortgage Payment, Hotel / Motel Voucher, Utilities Included in Rent		
2	Utility Assistance service types below should be supported. Allow a payment max. Utilities are automatically approved by the system. Utility Deposit, Utility Payment		
3	Non-Financial Assistance service types below should be supported: Information and Referral, Referral Type, Bus Passes, Quick Emergency Assessment, Clothing Voucher, Food Voucher, Gasoline Voucher, Household Materials		
4	Allow Program Offerings (AKA allowed services) to be created to group services. The Offering will restrict the services and funds available at service delivery for a given case file.		
5	Fund Source should allow for the following fields: 1. Cost Center 2. GL Account Number 3. Fund Name 4. Active/Inactive Status 5. If this fund requires EN005 data 6. Maximum Payment or Payment Scale based on Household Demographics (Member count, Income, Minor, Veteran, etc.) 7. Can the Max be Overridden 8. Can this fund only be received once per fiscal year		

	9. Can the one time per year restriction be waived 10. As applicable AMI, SMI, FPG Limit 11. As Applicable AMI, SMI, FPG w/Elderly or Disabled 12. Override percentages by level 13. Is Medicare deducted from gross income 14. Is a minor child required to be in the household 15. Is a minor child with legal status required to be in the household		
6	Fund source should allow setup of max limits for goods, passes and vouchers based on household characteristics.		
7	Staff need the ability to map what funds can be used for what service types. This mapping is made for each Program Offering that has been defined by staff. System will need to associate the following information: 1. Program Offering 2. Service Type 3. Fund Source 4. Spending limit for this combination 5. Is the spending limit overridable		
8	System should support service types and fund rules to ensure the grant requirements are met. See Exhibit D - 2.1.33.8, additional fund detail provided on request.		
9	Administrative Staff can setup vendors in the system. Fields for Vendors: FEINumber, Vendor Name, Vendor Type, Website, Contact Name, Contact Phone Number, Organization/Location Address, Hours of Operation, SAP Vendor ID, Active/Inactive Status, etc.		
10	Administrative Staff can setup document types needed to satisfy fund proof of legal residency requirements. This will support the House Bill generation by Caseworker Staff.		

11	AMI, SMI, FPG calculations automatically performed for federal and state guidelines to be used as part of the fund setup.		
12	Provide ability to manage FSC location information, address, program contact information, etc.		
13	Provide ability to manage the self-sufficiency matrix domains, rating scales, language, templates, etc.		
14	Provide ability to manage case plan, predefined goals and tasks, templated text, etc.		

2.2 Functional Requirements – Victim Services/Family Advocacy Center Program

2.2.1 Client Search: Staff search and filter clients for a given criteria in preparation for service delivery.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Provide ability to search for Clients using the following fields: Last Four of SSN, First Name, Last Name, Date of Birth, Client ID (Internal), Case ID (Internal), Address, etc.		
2	Provide listing of case files and associated services for each selected Client.		
3	The listing of case files and associated services can be filtered and sorted.		

2.2.2 FAC New Case File Generation: This section is part of the Client Case File for FAC Program. The case file is created to track services provided during a period of time.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Creating a case file should generate the appropriate screens needed to track client information and service information.		
2	Only staff with appropriate access are allowed to create a case file or update information.		

2.2.3 FAC Case Management Summary: This section is part of the Client Case File for FAC Program. Caseworker Staff capture household summary information such as Crime Type, Housing Type, Incident Information, etc.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Fields for Case Management Summary: Client Information, Case Open Date, Caseworker, Crime Type, Number of Children, Is Blue File Checkbox, Incident Information which includes Date of Incident and Police Report Number, Case Notes, Children Count and Information (Name, Age, Male/Female Status, etc), Emergency Contact, Decedent Information, Danger Assessment, Associated Referral Information, CPS/APS Hotline Information, etc.		
2	Attachments include Case Correspondence in the form of documents (Example: Emails and text messages), etc.		

2.2.4 FAC Client Information: This section is part of the Client Case File for FAC Program. Caseworker Staff capture information for the Primary applicant. Caseworker Staff search the system for client information to prevent duplicates.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Fields for Client Information: First Name, Last Name, Date of Birth, Race, Gender, Email Address, Home Address, Latino Status, Phone Number, Disability Status, Preferred Language, VOCA Client, VOCA Classification, VOCA Gender, etc.		

2.2.5 FAC Offender Information: This section is part of the Client Case File for FAC Program. Caseworker Staff capture information for the Offender of the Primary Client.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Fields for Offender Information: Name, Date of Birth, Relationship to the Victim, Ethnicity, Hispanic Status, Height, Weight, Hair Color, Eye Color, AKA's, Physical Description, Vehicle Information, Address, Phone Number, Employment Information (Address, Phone, Cross Streets), Drug Use Status, Drug Use Description, History of Mental Illness Status, Mental Illness Description, Child Abuse Status, Military Status, Weapon Status, Weapon Description, etc.		.

2.2.6 FAC APRAIS: This information is used to assess the safety of clients. Caseworker Staff utilize this information for safety planning with the client.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Fields for Danger Assessment: Yes/No Checkbox with related Assessment Question, etc. APRAIS Form is setup through admin.		

2.2.7 FAC Case Notes: This section is part of the Client Case File for FAC Program. Provide ability for Caseworker Staff to make notes in free form text related to case information.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Fields for Case Notes: Note Type, Entered By, Narrative, Private Checkbox, Entered Date, Effective Date, Direct Contact Checkbox, etc.		
2	Case notes should have a note type and a corresponding message template		
3	Case notes should allow for spell check		
4	Case notes should be printable		
5	Case notes should track Day, Time and Username.		
6	Case notes should not allow deletions. All submitted notes are Read Only.		

2.2.8 FAC Document Upload: This section is part of the Client Case File for FAC Program. Caseworker Staff will upload the client provided documents and assign the appropriate document type.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Document Types: Referral form, PD APRAIS Form, Release of Information, Order of Protection Petition, Affidavit of Service, Injunction Petition, Fee waiver form for Injunction, Services Today Form, Referrals to outside agencies, etc.		
2	Fields for Documents for Casefile: Document Type, File Type, Date Uploaded, Uploaded By Name, etc.		
3	Provide integrated uploading of documents from a desktop scanner.		
4	Provide document delete function to authorized roles only.		

2.2.9 FAC Non-Financial Service: This section tracks the non-financial services provided by Caseworker Staff: Bus passes (daily, weekly, monthly), food vouchers (Walmart & McDonalds), clothing vouchers (Walmart), gasoline vouchers (Circle K) and quick services such as: Order of Protection, safety planning, victim's rights, etc. This section also allows for referrals to be generated for partner agencies.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Non-Financial Assistance Types: 1. Bus Passes 2. Clothing Voucher 3. Food Voucher 4. Gasoline Voucher 5. Quick Services 6. Referral		
2	Details captured for Quick Services: Service Date, List of Services Provided (Checklist), Caseworker Notes, etc.		
3	Details captured for Referrals: Partner Agency, Contact Information, Referral Type, etc. Provide ability to generate, manage and send referrals to other agencies.		
4	Details captured for Passes and Vouchers: Vendor Name, Item Type, Item Count, Counselor Notes, etc. Enforce max limits for goods, passes and vouchers.		
5	As new non-financial services are developed system should allow related fields and provide for reporting.		
6	Provide an update to Caseworker Staff if the service is automatically approved or pending supervisor approval.		
7	Provide a history of status changes. For example: Submitted, Approved, Rejected, Overridden, Payment Completed, etc.		

8	Caseworker Staff can make changes to services until the service is approved. After approval, changes are restricted to Administrative Staff.		

2.2.10 FAC Financial Service: FAC Staff provide financial services such as greyhound bus tickets, hotel/motel, safety locks, etc. The payment is made to the vendor as a check and guarantee letter issued.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Financial Service Types: 1. Taxi One Way 2. Taxi Two Way 3. Bus Ticket 4. Hotel/Motel 5. Safety Locks		
2	Service information needs to be sent to SAP to generate checks, ensure required information is included in the transmission. The following day assigned check numbers received from SAP need to be recorded against the service. As future check updates (Example: Check Cashed) are obtained from SAP, the service should be updated as well.		
3	Generate a Letter of Guarantee to the vendor.		
4	Provide an update to Caseworker Staff if the service is automatically approved or pending supervisor approval.		
5	Provide a history of status changes. For example: Submitted, Approved, Rejected, Overridden, Payment Completed, etc.		
6	Caseworker Staff can make changes to services until the service is approved. After approval, changes are restricted to Administrative Staff.		
7	This service should follow payment criteria based on the Fund and Service Type. Display real time analysis and alerts using Fund and Service Rules to assist the Caseworker determined funds to use. For instance, Fund ABC max one-time payment is $100, service max is $200 but cannot be used more than once every 12 months. Refer to the Fund Rules under Admin Setup.		

8	Service amounts are posted against the appropriate fund balance to maintain a current total balance and prevent over-withdrawn amounts.		
9	Upon submission, service status is set to “Submitted” and forwarded to Supervisor Staff for approval.		
10	System should ensure the required data is entered.		
11	System should apply fund and service rules.		

2.2.11 FAC Referral Dashboard/Search: The dashboard provides a summary of incoming referrals processed.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Fields for Referral Search: Last Name, First Name, Middle Initial, Gender, Date of Birth, Client ID, etc.		
2	Make it a program level summary. See Exhibit D - 2.2.11.2		
3	List of the user's (Caseworker and Supervisor Staff) assigned referrals.		
4	Provide a capability to search referrals by Client Name and Date of Birth.		

2.2.12 FAC Referral Data: Incoming referrals are received from partner agencies. The referral information is needed for Caseworker Staff to make initial contact with client. Caseworker Staff will determine whether case management service is applicable.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Fields for Referral Data: Person Name, Gender, Date of Birth, Ethnicity, Race, Latino Status, Preferred Language, Home Address, Phone Number, Email, VOCA Client, VOCA Client Classification, Referring Agency including Contact Information, Incident Report Number/Date, Incident Report Date Received, Referral Crime Type, Referral Narrative, Notes, Attachments, Contact History (Contact Date, Contact Outcome and Notes), Assigned Caseworker, Referral Status, etc.		
2	Referrals can be linked to a case file as determined by Caseworker Staff.		

2.2.13 Gift Card Inventory: Please refer to the Gift Card Inventory Process under Family Services Center Program (Section 2.1.30) All programs use the same process.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Refer to section 2.1.30		

2.2.14 Reporting: The program uses canned/predetermined reports to provide to the grants. Ad hoc reporting capability will be used for operational reasons.

Item #	Requirement	Capability Value (0-4)	Narrative
1	VOCA Quarterly Report, see Exhibit D - 2.2.14.1		
2	Ad-hoc reporting capability for all data in the system. We currently use Power BI. All reports should have the ability be sorted and filtered.		

2.2.15 Admin Setup: This section is used manage the fund and service rules.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Define service types and associated fields		
2	Define the fund rules and associated fields, including approval requirements and override options. Max limits for goods, passes and vouchers based on household characteristics.		
3	APRAIS setup Danger Levels and Questions, see Exhibit D - 2.2.15.3		

2.3 Functional Requirements – Landlord and Tenant Program

2.3.1 Appointment Management: Staff have the ability to create appointment slots, book residents, view and manage appointments. New appointments can be created, and existing appointments updated as needed, including cancellation.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Staff can book an appointment for an open slot. The following information is collected for each appointment for the resident data: First Name, Last Name, Phone Number, Email address, Physical Address, Interpreter, Landlord or Tenant, Call Reason, etc.		
2	Provide a listing of all appointments that can be sorted and filtered by both location and resident name.		
3	Provide appointment slot create, edit and cancel based on staff access role.		
4	Fields for Appointment for counselor information tracking: Resident Name, Date/Time, Type (DD), Location, Counselor, Appointment Outcome, No Show Status, etc.		
5	Provide the ability to link an appointment to a resident case file.		

2.3.2 Online Intake Form: Resident enters intake information and uploads documentation online.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Refer to the Intake Form, See Exhibit D - 2.3.2.1		
2	This will be a one-time upload of intake information and documentation.		
3	Notify Staff when a resident submits an intake form.		
4	Intake information and documentation imported into a case file.		

2.3.3 New Case File Generation: This section is part of the Resident Case File for the Landlord and Tenant Program. The case file is created to track services provided during a period of time. The Resident will have one or more appointments for a given case file.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Creating a case file should generate the appropriate screens needed to track information.		
2	Only staff with appropriate access are allowed to create a case file or update information.		

2.3.4 Case File Summary: This section is part of the Resident Case File for the Landlord and Tenant Program. Counselor Staff capture household summary information such as Household Income, Tenancy Type, Monthly Rent/Mortgage Amount, etc.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Fields for Case File Summary: Adults in the Household, Children in the Household, Household Income, AMI, Case Manager, Additional Lessee, Tenancy Type, Occupancy Years/Months, Source, Address, Case Open Date, Case Close Date, Council District, Resident Type (Landlord or Tenant), Reason, Monthly Rent/Mortgage Amount, Rent/Mortgage Paid Checkbox, Security Deposit Amount, Security Deposit Paid Checkbox, COVID Crisis Status, Eviction in Progress Checkbox, Female Head of Household Checkbox, Case Notes, Presenting Problem (DD with description), Visit Type (In Person or Call In), etc.		
2	Read only fields (Carried from Information on Other Pages): Resident Name, Resident Contact Type, Resident Phone Number, Resident Email, etc.		

2.3.5 Resident Information: This section can be part of the Resident Case File but also a Resident can exist independently to receive quick services. Counselor Staff capture information for the Primary resident. Services are tracked separately for count accuracy and Residents can be duplicated in the system.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Fields for Resident Information: First Name, Last Name, Date of Birth, Race, Gender, Email Address, Home Address, Latino Status, Phone Number, Marital Status, Disability Status, Employment Status, Preferred Language, Educational Status, Military Status, Foreign Born Status, Rural Resident Status, COP Resident Status, Head of Household Status, Is COP Employee Checkbox etc.		

2.3.6 Financial Service: The program provides services for the following: Pet Boarding, Utility/Rental Deposits, Moving Costs. Vendors are paid through the Fiscal check payment processing. This information should be transmitted to the SAP payment system. Staff will have the ability to void the service and/or reissue a payment.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Financial Service types: 1. Pet Boarding expenses 2. Rent and Utility Payment/Deposit (Landlord and Tenant Emergency Assistance)		
2	Fields for Service Type: Vendor Name, Date of Service, Amount, Counselor Notes, Additional Fields based on service type, etc.		
3	This service should follow payment criteria determined based on the Fund and Service Type. Display real-time analysis and alerts using Fund and Service Rules to assist the Counselor. For instance, Fund ABC max one-time payment is $100, service max is $200 but cannot be used more than once every 12 months. Refer to the Fund Rules under Admin Setup.		
4	Provide an update to Counselor Staff if the service is automatically approved or pending supervisor approval.		
5	Provide a history of status changes. For example: Submitted, Approved, Rejected, Overridden, Payment Completed, etc.		
6	Counselor Staff can change services until the service is approved or if the service is rejected by Administrative Staff. After approval, changes are restricted to Administrative Staff.		
7	Service amounts are posted against the appropriate fund balance to maintain a current total balance and prevent over-withdrawn amounts.		

8	System should ensure the required data has been entered.		
9	System should apply the following fund rules: Fund maximum is not exceeded, maximum number of payments is not exceeded, income eligibility, the budgeted amount is not exceeded.		
10	Financial Service information needs to be sent to SAP to generate checks, ensure required information is included in the transmission. The following day assigned check numbers received from SAP need to be recorded against the service. As future check updates (Example: Check Cashed) are obtained from SAP, the service should be updated as well.		

2.3.7 Non-Financial Service: This section is used to record various information and counseling provided to the Resident.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Non-Financial Service types: 1. Education of Landlord and Tenant rights and responsibilities 2. Bus Passes 3. Food Voucher 4. Gasoline Voucher 5. Referral		
2	Education Services: 1. Counselor records information discussed, allow for multiple topics to be selected. 2. Create a Work Plan (See Work Plan section below) with templated goals and tasks. 3. Upon completion of service, generate email with work plan and resource information as attachments.		
3	Details captured for Referrals: Partner Agency, Contact Information, Referral Type, etc. Provide ability to generate, manage and send referrals to other agencies.		
4	Details captured for Passes and Vouchers: Vendor Name, Item Type, Item Count, Counselor Notes, etc. Enforce max limits for goods, passes and vouchers.		
5	As new non-financial services are developed system should allow related fields and provide for reporting.		

2.3.8 Work Plan: This section is part of the Resident Case File. Upon completion of the educational service the resident is provided with a work plan that identifies the areas that they received education and next steps to address their situation. They also receive an email that includes any documents/forms they may need to achieve their goals. See Exhibit D - 2.3.8.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Fields for Overall Plan Objective: Objective Name (DD), etc.		
2	Fields for Work Goals: Goal Name, Goal Priority, Templated Text based on the goal, etc.		
3	Fields for Goal Tasks: Task Name and short description, Start Date, Due Date, Responsible Party, Completed Date, Completed By Name, Task Completed By Resident, Successful Status, Complete Status, Templated Text based on the Task, etc.		
4	Provide ability to attach documents to the work plan.		
5	Email work plan and attached documents to the resident.		
6	Administrative Staff can setup templated text for goals and tasks.		

2.3.9 Case Notes: This section is part of the Resident Case File for the Landlord Tenant Program. Provide ability for Counselor Staff to make notes in free form text related to case information.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Fields for Case Notes: Note Type, Entered By, Narrative, Private Checkbox, Entered Date, Effective Date, Direct Contact Checkbox, etc.		
2	Case notes should have a note type and a corresponding message template		
3	Case notes should allow for spell check		
4	Case notes should be printable		
5	Case notes should track Day, Time and Username		
6	Case notes should not allow deletions. All submitted notes are Read Only.		

2.3.10 Document Upload: This section is part of the Resident Case File for the Landlord and Tenant Program. Counselor Staff will upload the Resident provided documents and assign the appropriate document type.			
Item #	**Requirement**	**Capability Value (0-4)**	**Narrative**
1	Document Types: 1. Lease Documents 2. Landlord Correspondence 3. Utility Documents 4. Photo ID		
2	Fields for Documents for Casefile: Document Type, File Type, Date Uploaded, Uploaded By Name, etc.		
3	Provide integrated uploading of documents from a desktop scanner.		

2.3.11 Quick Service: Information is provided to an individual or in a group setting, who may or may not provide their personal identifiable information. A Case File is not created in this situation, but the data needs to be included in applicable reports.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Fields for Quick Service: Type (Education, etc.), Individuals Attended (as applicable), Date/Time, Location Address, Resident Status, Comments, Attachments, other fields as needed, etc.		

2.3.12 Incoming Referral Tracking: This feature provides tracking for referrals sent to the program and their disposition.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Dashboard for a program level summary. 1. Program Level Summary 2. Referrals Needing Assignment 3. List of the users (Counselor Staff) assigned or making the referrals		
2	Fields for Referral: Resident Information (search for existing Residents), Resident Name, Resident Phone Number, Resident Email Address, Resident Home Address, Resident ID, Notes, Referral Source and Contact Information, Presenting Problem, Referral Date, Outcome, Referral Close Date, Assigned Counselor, Assigned Center Location, etc.		
3	Provide a capability to search referrals by Resident Name and address.		

2.3.13 Reporting: The program uses canned/predetermined reports to provide to the grants. Ad hoc reporting capability will be used for operational reasons.

Item #	Requirement	Capability Value (0-4)	Narrative
1	CDBG Quarterly Report, see Exhibit D - 2.3.13.1		
2	COP Weekly Report, see Exhibit D - 2.3.13.2		
3	Ad-hoc reporting capability for all data in the system. We currently use Power BI. This report can be sorted and filtered.		

2.3.14 Admin Setup: This section is used manage the fund and service rules. In addition, this section is used to design the work plan goals, tasks and templates.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Define service types and associated fields		
2	Define the fund rules and associated fields, including approval requirements and override options. Please refer to the LTP Fund Matrix, see Exhibit D - 2.3.14.2 Max limits for goods, passes and vouchers based on household characteristics.		
3	Create predefined work plan templates, goals and tasks.		

2.4 Functional Requirements – User Security

2.4.1 Account creation and access: Administration Staff create user accounts and assigns appropriate roles. Access must be restricted to authorized users and devices, and credentials must be secure.

Item #	Requirement	Capability Value (0-4)	Narrative
1	On initial login for staff accounts (setup by administrator), user is prompted for new password to be setup.		
2	After three unsuccessful login attempts, system should be locked for 1 hour or until unlocked by the administrator.		
3	Login authorization expires after 30 minutes of inactivity and user is redirected to login prompt.		
4	User should be able to reset forgotten password.		
5	Password must be at least 8 characters with a minimum of one upper case, one number and special character.		
6	Password cannot be reused for 12 months.		
7	Password must be changed every 90 days.		
8	Email notification will be sent to the user anytime password is changed.		
9	Users should be able to manage account settings such as security questions for password reset, etc.		

2.4.2 User Account Management: Administrative Staff can manage user profile information and access roles.

Item #	Requirement	Capability Value (0-4)	Narrative
1	Provide ability to assign and manage user profile information and access roles		
2	User status can be updated to active or inactive		
3	Access roles can be assigned to job code (job title) or on a temporary basis.		
4	Provide granular access to various system features so that appropriate profiles can be created.		

2.5 Non-functional Requirements

2.5.1 Hosting and Performance Requirements			
Item #	**Requirement**	**Capability Value (0-4)**	**Narrative**
1	100% cloud-based and administered by vendor’s personnel		
2	System should be available at all times except during maintenance		
3	Page loads and processing must finish in accordance with industry standards		
4	In the event of storage failure, data loss cannot exceed more than one hour. System must be restored to the state not older than one hour prior to reported issue.		

2.5.2 Usability Requirements			
Item #	**Requirement**	**Capability Value (0-4)**	**Narrative**
1	Website must operate as designed in all major browsers and end user devices (desktops and laptops).		
2	Content must adhere to responsive design principles on the following screen sizes: desktops, laptops and tablets.		
3	User friendly and intuitive interface.		

2.5.3 Software Updates			
Item #	**Requirement**	**Capability Value (0-4)**	**Narrative**
1	Critical system problems (ex: affects large # of users) must be resolved within 4 hours and non-critical within 24 hours.		
2	Product updates for base system should be at least once a quarter and performed during scheduled downtime.		

2.5.4 Training and Support			
Item #	**Requirement**	**Capability Value (0-4)**	**Narrative**
1	Periodic training for case workers and admin staff.		
2	Website with training materials, FAQs, etc.		
3	Provide a user-friendly method to request technical support and or assistance and describe how said support will be accessed. (Ex: phone, email, support web site.) Acknowledgement of support request should be received in no less than 2 hours after submittal. Escalation procedures should be made available preferably via a dedicated point of contact.		
4	Escalation procedures should be made available preferably via a dedicated point of contact.		

2.5.5 Compliance Requirements			
Item #	**Requirement**	**Capability Value (0-4)**	**Narrative**
1	Data must be retained for 6 years		

EXHIBIT D – SUPPORTING DOCUMENTS

Exhibits

2.1.1.3 Provide a screen where Administrative Staff can enter various financial assistance appointment types needed for hourly slots for the current week (Hourly Slots: 7am, 8am, 9am, 10am, 11am, 1pm 2pm, 3pm, 4pm). This action should generate slots which can be assigned to Caseworker Staff.

Please do not use this system for real work.

Weekly Appointment Page

ONE\053269
Distributor: Araujo,Lisa G

Menu

Date Receiving Calls: 12/12/2022 Location: Travis L. Williams Family Se Start

Appointment Type	12/14 Wed AM	12/14 Wed AM2	12/14 Wed PM	12/14 Wed PM2	12/15 Thu AM	12/15 Thu AM2	12/15 Thu PM	12/15 Thu PM2	12/16 Fri AM	12/16 Fri AM2	12/16 Fri PM	12/16 Fri PM2	12/17 Sat AM	12/17 Sat AM2	12/17 Sat PM	12/17 Sat PM2	12/19 Mon AM	12/19 Mon AM2	12/19 Mon PM	12/19 Mon PM2	12/20 Tue AM	12/20 Tue AM2	12/20 Tue PM	12/20 Tue PM2	Total
Ancillary																									
Emergency ERA																									
ERA																									
Navigation																									
Rent																									
Return Appointment																									
Senior Intake Line																									
Senior Recertification																									
Standby																									
Utility																									
Utility In Rent																									
Utility Special Event																									

Create Appointments

Create Appointments

Appointment Type	12/14 Wed 7	12/14 Wed 8	12/14 Wed 9	12/14 Wed 10	12/14 Wed 11	12/14 Wed 1	12/14 Wed 2	12/14 Wed 3	12/14 Wed 4	12/15 Thu 7	12/15 Thu 8	12/15 Thu 9	12/15 Thu 10	12/15 Thu 11	12/15 Thu 1	12/15 Thu 2	12/15 Thu 3	12/15 Thu 4	12/16 Fri 7	12/16 Fri 8	12/16 Fri 9	12/16 Fri 10	12/16 Fri 11	12/16 Fri 1	12/16 Fri 2	12/16 Fri 3	12/16 Fri 4	12/17 Sat 7	12/17 Sat 8	12/17 Sat 9
Telephone-Ancillary																														
Telephone-SIL																														
Telephone-Emergency Utility																														
Telephone-Emergency Rent																														
Telephone-StandBy																														
Telephone-Utility																														
Telephone-Rent																														
Return Appointment-Remote																														
Telephone-CaresAct																														
Telephone-UIR																														
Telephone-ERA																														
Telephone-Emergency ERA																														
Telephone-Navigation																														

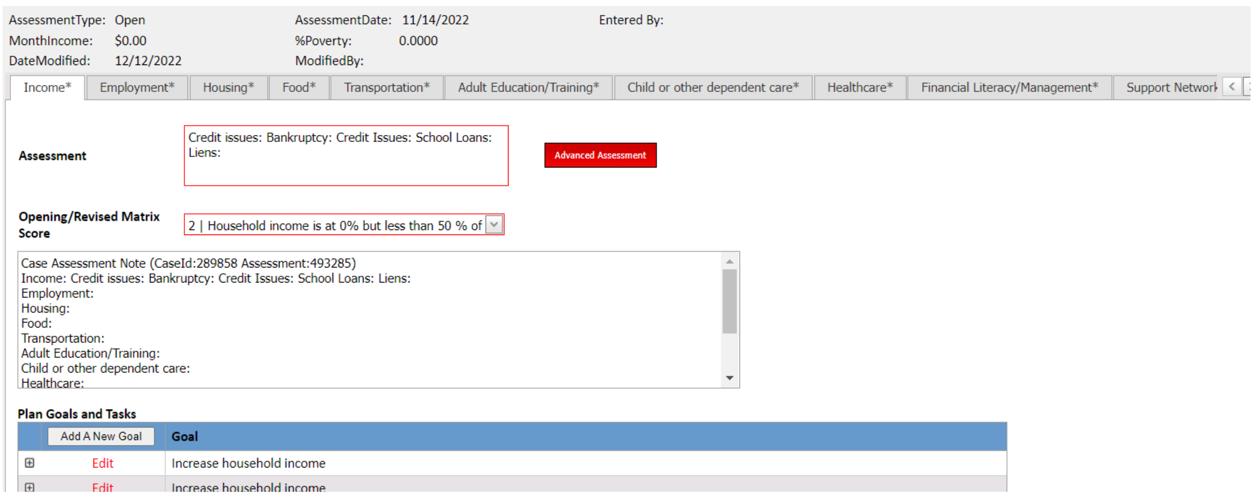
2.1.9.1 Assessment Types:

1. Case Management
2. Financial Assistance
3. Quick Assessment

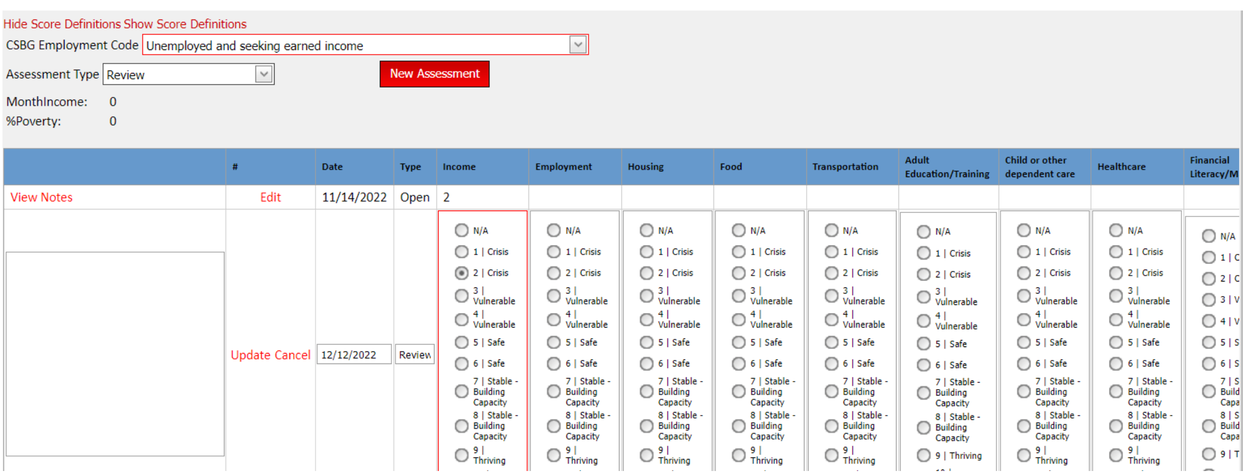
For each Assessment Type:

Assessment Sub-Type (DD), Opening, Review, and Closing

2.1.9.1.A Case Management:



2.1.9.1.B Financial Assistance:



2.1.10.2 Generate a printed report for the Caseworker to sign electronically, (Form 2008, A.R.S. Section 1-501 COMPLIANCE CHECKLIST)

City of Phoenix

FORM 2008-2

A.R.S. Section 1-501 COMPLIANCE CHECKLIST

Appointment Date:	12/5/2022	**Department/Division :**	CSD
Employee Name:		**Applicant Name:**	

DES LIHEAP Primary Name:

Acceptable Verification Documents for U.S. CITIZENSHIP/RESIDENCY

Original or un-tampered copies of required documents are acceptable for verifying

Client	House Bill Documentation	Eligible Funds
3/11/1982	A birth Certificate issued by a U.S. state or local government bureau of vital statistics	All funds, Pulliam-Gift Card, Piper- Gift Card, Bus Passes, Gift Card Vouchers, Taxi Vouchers
12/27/1980	An AZ driver license issued after 1996 or an Arizona non operating identification license. Expired AZ DL and AZ ID are acceptable if issued after 1996	ADOH - Rent , APS, GPF, Pulliam Foundation Fund, SRP, SWGAS Energy Share , SWGAS LIEC , Water Assist, Bus Pass, Gift Cards

WORKER'S SIGNATURE: WORKER'S ID: 12/5/2022
Electronically signed and approved by: 11:30:54 AM

2.1.13.10 Prefilled Client Release of Information (ROI)

City of Phoenix
HUMAN SERVICES DEPARTMENT
COMMUNITY SERVICES DIVISION

Client Name:

Client ID:

Appointment Date: 11/9/2022

Telephone Consent

I agree that by completing a telephone interview, stating "yes" to a verbal signature is equivalent as if I had signed my name on the application.

Do you affirm, upon penalty of perjury, that you presented documentation to the City of Phoenix for the purpose of obtaining a benefit from the City, that you are lawfully present in the United States, and that you are the person stated on the document?

Client affirmed: ☑

1) Do you certify that the information reported is a true and accurate statement of your living circumstances?
2)Do you authorize the city of Phoenix to verify the information provided by you in order to determine eligibility for assistance?
3)Do you authorize the city of Phoenix to release any and all information requested concerning you or your household members to ensure a thorough assessment of your household's situation?
If requested this document may be provided to any and all agencies identified on this release.
4)Do you authorize the city of Phoenix to share and exchange information concerning you or your household members with the Department of Economic Security and your current utility vendors which may include SRP, SWG or APS?
5)Do you understand that you may revoke this authorization at any time, except to the extent action based on this authorization has already been taken and that this authorization will expire six months from the date of service?

Client agreed to all five terms: ☑

Please be aware that the city of Phoenix Community and Senior Services Division has a complaint procedure in place. You may file a client complaint if at any time you believe that you have not been properly treated or have a complaint about services provided to you. Copies of the complaint form are available at all city of Phoenix Family Services Centers. Do you acknowledge that you understand the Community and Senior Services Division Client Rights and Client Complaint Procedure and understand you have the right to an appeal process should you disagree with decisions regarding your case, requested services and/or treatments received?
Do you understand that the information you share will be kept in your case record and will remain confidential according to A.R.S. 36-509?

Client has acknowledged understanding: ☑

Caseworker validation of verbal consent:

Signature Date: 11/9/2022

Signature ID: ____________

2.1.13.10 Prefilled Client Release of Information (ROI) Continued…

UTILITY INFORMATION RELEASE AUTHORIZATION FORM

- [ ] Arizona Public Service
- [ ] UniSource Energy Services
- [ ] Salt River Project
- [ ] Trico Electric Cooperative
- [ ] Tucson Electric Power
- [x] Southwest Gas

By signing this form, I authorize the above named utility provider(s) (indicated by box checked) to release my historical and future utility bills, account information (such as but not limited to name, service address, account number, balance, payment history) and other information concerning or related to energy consumption and costs to any and all of the agencies/persons listed on this form ("Authorized Parties"). This release is granted in connection with my household's request for and/or receipt of assistance from the community agency listed below.

I understand and agree that the utility information released may be compiled and analyzed (both on an individual household and combined basis) by one or more of the Authorized Parties. I further understand and agree that the utility information released, as well as any statistical or other analysis may be released by the Authorized Parties to a third party for reporting purposes related to assistance received, and no information released shall be made public in such a manner that my dwelling or my household occupants can be identified.

I further agree to release and hold harmless the above named utility provider(s) from: (i) any claims, damages, liability or expenses resulting from the use or disclosure of information based on this Authorization; (ii) the unauthorized use or disclosure of the information by any of the Authorized Parties; and (iii) any actions taken by any of the Authorized Parties based on this Authorization.

AUTHORIZED PARTIES:

Community Agency:

Name of agency determining assistance: Arizona Department of Economic Security Office of Grants and Federal Resource

Arizona Community Action Association	Arizona Department of Administration	Arizona Department of Economic Security Office of Grants and Federal Resource

Signature of Account Holder/Customer of Record: ______________________

Print Account Holder/Customer of Record: [redacted] ______________________

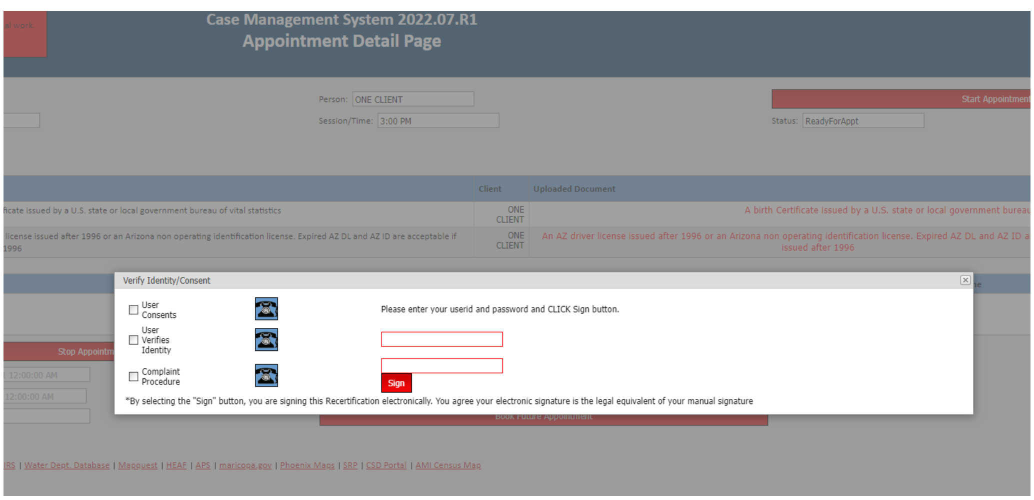
Signature of Joint Account Holder/Customer of Record: ______________________

Print Joint Account Holder/Customer of Record: ______________________

Service Address: [redacted] ______________________

Account Number: [redacted] ______________________

Date: ______________________



2.1.15.3 Details captured for Referrals:

Partner Agency, Contact Information, Referral Type, etc.

Provide ability to generate, manage and send referrals to other agencies.

City of Phoenix
Human Services Department
Referral Form

Customer Information			
Name		**Client Id**	
Address			
Phone		**Alternate**	

Referred By			
Agency	Family Service Centers	**Worker**	
Address	3454 N 51ST AVE PHOENIX AZ 85031		
Phone	602-534-7667	**Fax**	
Email	@phoenix.gov	**Division**	Community Services Division

Services Requested
is requesting assistance with weatherization of her home and possible assistance with her A.C. unit.

Staff Signature	Created By:	**Date**	07/01/2021

Referred To			
Agency	NEIGHBORHOOD SERVICES	**Worker**	HOME REPAIR REPRESENTATIVE
Address	200 W WASHINGTON ST FL 4th PHOENIX AZ 85003		
Agency Phn	602-262-7210ext:	**Wkr Phone**	602-534-4444ext:4
		Wkr Email	

Services Outcome			
(Check all that apply)	☐ Client Refused Services	☐ Client Kept Appointment	☐ Services Started
☐ Client No Show	☐ Services Denied	☐ Services Pending	☐ Services Completed

Additional Info

Staff Signature		**Date**	

2.1.18.1 Provide a Services Today Report

City of Phoenix - Human Services

Client Information

Name	
Address	
SSN	Verified By:
Date of Birth	
Gender	FEMALE
Ethnicity	White & Hispanic/Latino

Phone Numbers
(Cell)

Office Information	
Date	Nov 9 2022 10:04AM
Location	Travis L. Williams Family Services Center 4732 S CENTRAL AVE PHOENIX, AZ 85040 602-534-4732
Case Worker	
Case File#	
Client Id	

Household			
Size	2	Housing Type	Rent
Adults	2	Elderly	2
Children	0	Child Under 7	N
Disabled	2	Homebound	0

Household Financials Information					
Income	$1216.00	Poverty Level	2 (80%)	SMI %	41.56 %
IncomeWith MedicareDeduction	$1216.00	Poverty Level	2 (80%)	SMI %	41.56 %
Housing Pmt	$0.00	Electric	$244.18		
Gas	$0.00	Total Points / LIHEAP Range	11 / $481.00 - $640.00		

Household Members					
Name	SSN	Verified By	DOB	Gender	Relationship
				FEMALE	Client
				MALE	SigO

Income Details						
Income Type	$ / Month	Receiver	Source	Frequency	Verification	Income Date
DES Verified	$1216.00		DES FSBH 05 Screen	Monthly	DES	11/09/2022

Services Provided					
Category	Service	Additional Info	Date	Service Units	Case Worker
Financial	Utility Payment	Water Assist	11/09/2022	228.24	
Financial	Utility Payment	SRP	11/09/2022	244.18	
Non-Financial	Utility Discount Application		11/09/2022		
Non-Financial	Utility Discount Application	SRP Ecomomy Price Plan	11/09/2022		

All payments are made directly to the vendor.

I certify that the above information is true. I Agree that I will not use this card to purchase alcohol or tobacco items.

11/9/2022

Client Signature **Date**

Electronically signed and approved by: 11/9/2022

Caseworker Signature **Date**

2.1.18.3 Letter of Guarantee

City of Phoenix
HUMAN SERVICES DEPARTMENT
COMMUNITY SERVICES DIVISION
Travis L. Williams Family Services Center

Date: **12/12/2022**

TEMPE ARIZONA 85284

Dear:

This letter guarantees payment for residing at:
for payment in the amount of: **$2,177.42**.

By accepting this payment of **$2,177.42** the landlord agrees to refrain from evicting the resident for nonpayment of rent for at least 30 days after the period covered by this payment

Please note this payment is currently in process and a check will be issued subsequently from the Finance Department.

The check will include the tenant's following information:

- First initial
- Last Name
- Street Number
- Street Direction
- Unit Number
- ZIP Code

Example: M MOUSE 105 W #10 92802

Be advised if more than one tenant received services in the same week, the check may include all the services for this property on one. The description column will identify the tenants and separate their service amount.

Thank you. Your assistance is greatly appreciated.

2.1.18.5 Child Support Referral Form

City of Phoenix
HUMAN SERVICES DEPARTMENT
COMMUNITY SERVICES DIVISION

Referral Form

Customer Information

Client Name: **Client ID:**

Phone Number:

Services Requested: Child Support Information

Referred To: Department of Economic Security Division of Child Support Services (DES DCSS)

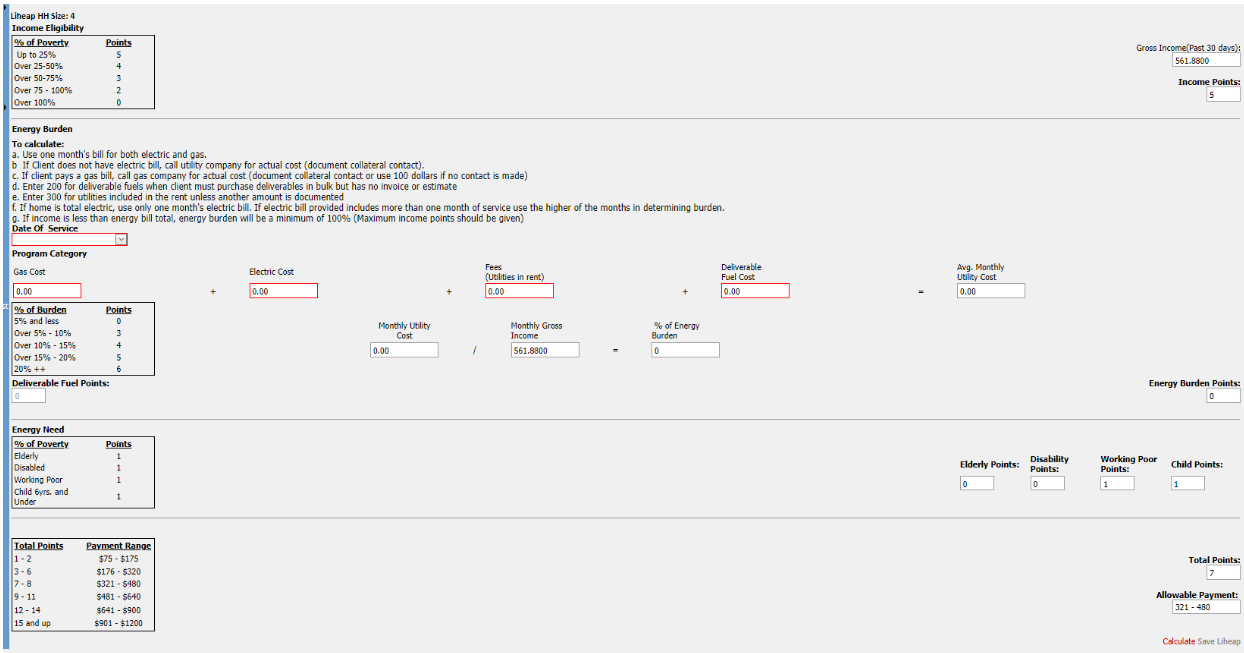
Locations:

Name	**Address**	**Phone Number**
DCSS NORTH REGION OFFICE	11420 N 19TH AVE PHOENIX, AZ 85029	602-252-4045ext:
DCSS SOUTH REGION OFFICE	515 N 51ST AVE STE 120 PHOENIX, AZ 85043	602-252-4045ext:
DCSS EAST REION OFFICE	125 E ELLIOT RD STE CHANDLER, AZ 85225	602-252-4045ext:
DCSS MESA MULTI CENTER OFFICE	120 W 1ST AVE MESA, AZ 85210	602-252-4045
DCCSS CHILD SUPPORT	3443 N CENTRAL AVE PHOENIX, AZ 85003	602-252-4045

2.1.19.2 Generate a report that can be sorted, filtered and exported to excel. This report will be sent daily to the utility company manually.

ClientId	Account #	Service Type	Allocation	FundName	Client Name/Address	Service Date	Account Total
		Utility Payment	$61.56	ERA 1RA		12/9/2022	$61.56
		Utility Payment	$1,355.33	ERA 1RA		12/9/2022	$1,355.33
		Utility Payment	$233.46	ERA 1RA		12/9/2022	$233.46
		Utility Payment	$359.45	ERA 1RA		12/9/2022	$359.45
		Utility Payment	$1,077.46	ERA 1RA		12/9/2022	$1,077.46
		Utility Payment	$278.05	ERA 1RA		12/9/2022	$278.05
		Utility Payment	$454.31	ERA 1RA		12/9/2022	$454.31
		Utility Payment	$2,603.27	ERA 1RA		12/9/2022	$2,603.27
		Utility Payment	$1,256.53	ERA 1RA		12/9/2022	$1,256.53
			Total: $7,679.42 Count: 9				

2.1.24.1 LIHEAP Points Calculator


Liheap HH Size: 4

Income Eligibility

% of Poverty	Points
Up to 25%	5
Over 25-50%	4
Over 50-75%	3
Over 75 - 100%	2
Over 100%	0

Gross Income(Past 30 days): 561.8800

Income Points: 5

Energy Burden

To calculate:
a. Use one month's bill for both electric and gas.
b If Client does not have electric bill, call utility company for actual cost (document collateral contact).
c. If client pays a gas bill, call gas company for actual cost (document collateral contact or use 100 dollars if no contact is made)
d. Enter 200 for deliverable fuels when client must purchase deliverables in bulk but has no invoice or estimate
e. Enter 300 for utilities included in the rent unless another amount is documented
f. If home is total electric, use only one month's electric bill. If electric bill provided includes more than one month of service use the higher of the months in determining burden.
g. If income is less than energy bill total, energy burden will be a minimum of 100% (Maximum income points should be given)

Date Of Service

Program Category

Gas Cost		Electric Cost		Fees (Utilities in rent)		Deliverable Fuel Cost		Avg. Monthly Utility Cost
0.00	+	0.00	+	0.00	+	0.00	=	0.00

% of Burden	Points
5% and less	0
Over 5% - 10%	3
Over 10% - 15%	4
Over 15% - 20%	5
20% ++	6

Monthly Utility Cost		Monthly Gross Income		% of Energy Burden
0.00	/	561.8800	=	0

Deliverable Fuel Points: 0

Energy Burden Points: 0

Energy Need

% of Poverty	Points
Elderly	1
Disabled	1
Working Poor	1
Child 6yrs. and Under	1

Elderly Points:	Disability Points:	Working Poor Points:	Child Points:
0	0	1	1

Total Points	Payment Range
1 - 2	\$75 - \$175
3 - 6	\$176 - \$320
7 - 8	\$321 - \$480
9 - 11	\$481 - \$640
12 - 14	\$641 - \$900
15 and up	\$901 - \$1200

Total Points: 7

Allowable Payment: 321 - 480

Calculate Save Liheap

2.1.25.2 Generate a printed report for the Caseworker to sign electronically

ARIZONA DEPARTMENT of ECONOMIC SECURITY
Division of Aging and Adult Services - Community Action Programs
APPLICATION FOR SERVICES - Print Page

APPLICANTS SS#	DATE OF APPLICATION 9/11/2020	WORKER ID#	SITE CODE 1CPX	SERIAL NO	DES USE ONLY	
APPLICANTS NAME (Last, First, MI)						
APPLICANTS MAILING ADDRESS (No, Street, Apt #)			APPLICANTS RESIDENTIAL ADDRESS (No, Street, Apt #)			
CITY, STATE, ZIP			CITY, STATE, ZIP PHOENIX, AZ 85042			COUNTY Maricopa
PHONE #	BIRTHDATE	ETHNICITY Black/African American Not Hispanic	HH SIZE 5	GENDER FEMALE	DISABLED Yes	HOMELESS No
DO YOU LIVE IN PUBLIC HOUSING OR PROJECT SUBSIDIZED HOUSING? Yes			DO YOU MAKE UTILITY PAYMENTS? Yes		CRISIS CODE (2) 3	MONTHLY UTILITY (LIHEAP Only) $301.93

NASCSP DEMOGRAPHIC INFORMATION

FAMILY TYPE (3) - HH Multigenerational Household	HOUSING TYPE (4) - HH Section 8	EDUCATION (5) - APPLICANT High School Graduate/GED	DATE IN STATE - APPLICANT	DATE IN COUNTY - APPLICANT

INCOME TYPE - HH				BENEFITS - HH						HH FS (Food Stamps)
	Employment Only		Employment and Benefits		CA (TANF)		GA	X	SSI	
X	Other Income		No Income		Soc Sec		Pension	X	Unemployment	Yes

Was the applicant prvided with energy education brochures and/or brief energy education? Yes If custodial sigle-parent in household, was referral made to child support services? Yes	MIGRANT FARM WORKER - HH No	SEASONAL FARM WORKER - HH No

PAYMENT INFORMATION

Account #	Voucher #	Vendor Code	Vendor Name	Service Code	Budget Code	Amount	Need Guar
		86-6000727	SRP CUSTOMER ACCOUNTING @ PAB 169	UTA	LIHEAP-COVID19	$640.00	

Vendor/Payee Name (check to be issued to): SRP CUSTOMER ACCOUNTING @ PAB 169	Vendor/Payee Mailing Address PO Box 64141 City, State, ZIP PHOENIX, AZ 85072	Actual Monthly Rent/Mortgage $0.00	Vendor FEI# (Mandatory) See FEI above

Has the Household received CEPS/STCS services in the prior 12 months? No If yes, what agency?	Has the household complied with employment or employment training requirements? Yes

Approved **Denied**

APPLICANT'S STATEMENT OF TRUTH: Under penalty of perjury and scknowledged by my signature below, I swear or affirm that the statements made regarding the persons in my home and the income, resources, property and all other items that pertain to my possible eligibility for benefites are true and correct to the best of my knowledge.

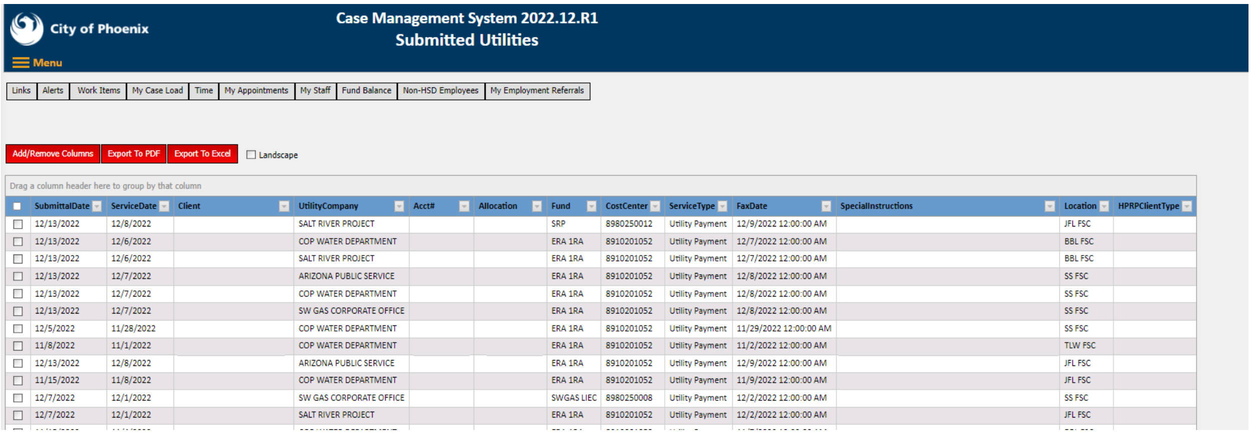
RELEASE OF INFORMATION: I authorize the Arizona Department of Economic Security and/or delegate agency to contact any source necessary to establish the accuracy of the information given by me. Furthemore, I authorize any landlord or utility company to which payment of credit on my behalf may be made to release information regarding my current account including but not limited to billing information to the State of Arizona or it's contract designee.

	DATE: 9/11/2020

WORKER'S STATEMENT: I have interviewed the applicant and have examined the following: his/her right to the appeals process. I have also advised the applicant of any penalties for fraud and/or misrepresentation. I have completed my investigation of the applicant's eligibility as required by program rules and regulations.

WORKER'S SIGNATURE: Electronically signed and approved by:	WORKER'S ID:	DATE:

2.1.28.1 Submitted Utilities Report



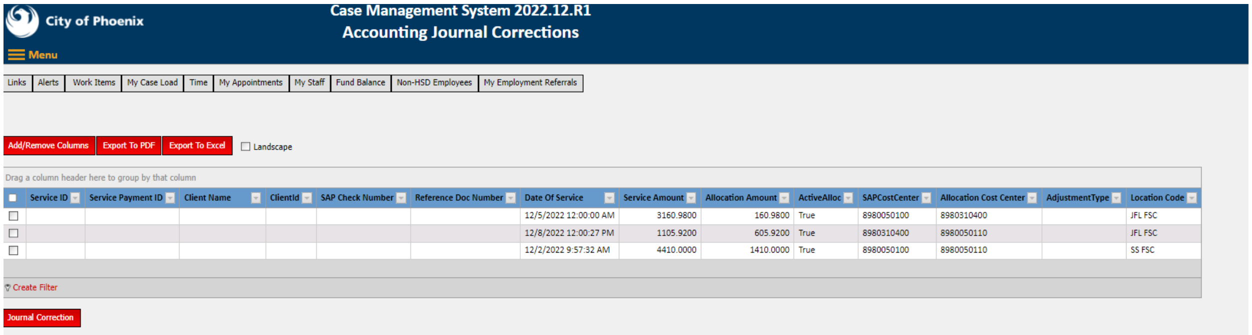
SubmittalDate	ServiceDate	Client	UtilityCompany	Acct#	Allocation	Fund	CostCenter	ServiceType	FaxDate	SpecialInstructions	Location	HPRPClientType
12/13/2022	12/8/2022		SALT RIVER PROJECT			SRP	8980250012	Utility Payment	12/9/2022 12:00:00 AM		JFL FSC	
12/13/2022	12/6/2022		COP WATER DEPARTMENT			ERA 1RA	8910201052	Utility Payment	12/7/2022 12:00:00 AM		BBL FSC	
12/13/2022	12/6/2022		SALT RIVER PROJECT			ERA 1RA	8910201052	Utility Payment	12/7/2022 12:00:00 AM		BBL FSC	
12/13/2022	12/7/2022		ARIZONA PUBLIC SERVICE			ERA 1RA	8910201052	Utility Payment	12/8/2022 12:00:00 AM		SS FSC	
12/13/2022	12/7/2022		COP WATER DEPARTMENT			ERA 1RA	8910201052	Utility Payment	12/8/2022 12:00:00 AM		SS FSC	
12/13/2022	12/7/2022		SW GAS CORPORATE OFFICE			ERA 1RA	8910201052	Utility Payment	12/8/2022 12:00:00 AM		SS FSC	
12/5/2022	11/28/2022		COP WATER DEPARTMENT			ERA 1RA	8910201052	Utility Payment	11/29/2022 12:00:00 AM		SS FSC	
11/8/2022	11/1/2022		COP WATER DEPARTMENT			ERA 1RA	8910201052	Utility Payment	11/2/2022 12:00:00 AM		TLW FSC	
12/13/2022	12/8/2022		ARIZONA PUBLIC SERVICE			ERA 1RA	8910201052	Utility Payment	12/9/2022 12:00:00 AM		JFL FSC	
11/15/2022	11/8/2022		COP WATER DEPARTMENT			ERA 1RA	8910201052	Utility Payment	11/9/2022 12:00:00 AM		JFL FSC	
12/7/2022	12/1/2022		SW GAS CORPORATE OFFICE			SWGAS LIEC	8980250008	Utility Payment	12/2/2022 12:00:00 AM		SS FSC	
12/7/2022	12/1/2022		SALT RIVER PROJECT			ERA 1RA	8910201052	Utility Payment	12/2/2022 12:00:00 AM		JFL FSC	

2.1.28.2 CSD Billable Hours List Report

Drag a column header here to group by that column

Appt. ID	Assessment Caseworker	Name	JobCode	Assessment Time (Minutes)	LIHEAP Amount	LIHEAP Covid Amount	LIHEAP Supp Covid Amount	Liheap ARPA	CSBG Amount	CSBG Covid Amount	ERA Amount	ERA2	ERA1RA	TANF Amount	TANF Eligible
			Caseworker I	37	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$7,546.76	$0.00	$0.00	Y
			Caseworker II	29	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	N
			Caseworker I	50	$0.00	$0.00	$0.00	$480.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	N
			Caseworker I	31	$0.00	$0.00	$0.00	$480.00	$0.00	$0.00	$0.00	$4,293.15	$0.00	$0.00	N
			Caseworker I	11	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	N
			Caseworker II	17	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	N
			Caseworker I	24	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	N
			Caseworker II	13	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	N
			Caseworker I	14	$0.00	$0.00	$0.00	$480.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	Y
			Caseworker I	33	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	Y

2.1.28.4 Accounting Journal Corrections Report



Service ID	Service Payment ID	Client Name	ClientId	SAP Check Number	Reference Doc Number	Date Of Service	Service Amount	Allocation Amount	ActiveAlloc	SAPCostCenter	Allocation Cost Center	AdjustmentType	Location Code
						12/5/2022 12:00:00 AM	3160.9800	160.9800	True	8980050100	8980310400		JFL FSC
						12/8/2022 12:00:27 PM	1105.9200	605.9200	True	8980310400	8980050110		JFL FSC
						12/2/2022 9:57:32 AM	4410.0000	1410.0000	True	8980050100	8980050110		SS FSC

2.1.28.6 Case Management Report

Date Run: 12/13/2022

DES Division of Aging and Adult Services - Community Action Case Management Monthly Report for AZ State Fiscal Year 2020 Effective 12/13/2022

Agency Name:	City of Phoenix	Contract #:		Reporting Month and Year:	2019 - November
Submitted by:	Admin	Telephone #:		Date Submitted:	12/13/2022

A. HOUSEHOLD VOUCHERS

Type of assistance	1. STCS HH#	STCS $	2. LIHEAP HH#	LIHEAP $	3. LIHEAP SUPPLMNT HH#	LIHEAP SUPPLMNT $	4. LIHEAP ASSUR 16 HH#	LIHEAP ASSUR 16$	5. OTHER HH#	OTHER HH$	6. NHN HH#	NHN HH$	7. LIHEAP TOTAL HH'S
Utility Assistance	0	$0.00	614	$296,760.00	349	$279,200.00	718	$0.00	312	$96,382.71	4	$1,853.00	
Mortgage, Rent Motel	6	$5,923.73	0	$0.00					56	$54,023.19	0	0	
Special Needs	0	$0.00							2	$208.00	0	0	
Total	6	$5,923.73	614	$296,760.00					370	$150,613.90	4	$1,853.00	963

B. LIHEAP ASSISTED HOUSEHOLDS ONLY

Type of assistance	1. Number of assissted households	2. Under 75%Pverty	3. 75% - 100% Pverty	4. 101%-125% of Poverty	5. 126%-150% Poverty	6. Over 150% Poverty	7. Section B Totals	C. Vulnerable Categories	1. 60 years or older	2. Disabled	3. Age 5 years or younger	4. UNDUPLICATED Elderly / Disabled / Child under 5
Regular LIHEAP	614	317	115	79	55	48	614	Regular LIHEAP	147	276	184	448
Supplemental LIHEAP	349	175	64	47	36	27	349	Supplemental LIHEAP	88	140	101	242
							963					690

D. UNDUPLICATED ANY type of LIHEAP assistance (Household receiving both a Regular LIHEAP and a Supplemental should be counted only one time in this section)	718

E. LIHEAP APPLICANT HOUSEHOLDS - ALL CATEGORIES, REGARDLESS OF WHETHER ASSISTED

Type of assistance	1. Number of assissted households	2. Under 75%Pverty	3. 75% - 100% Pverty	4. 101%-125% of Poverty	5. 126%-150% Poverty	6. Over 150% Poverty	7. Totals
Regular LIHEAP	614	317	115	79	55	48	614
Supplemental LIHEAP	349	175	64	47	36	27	349
							963

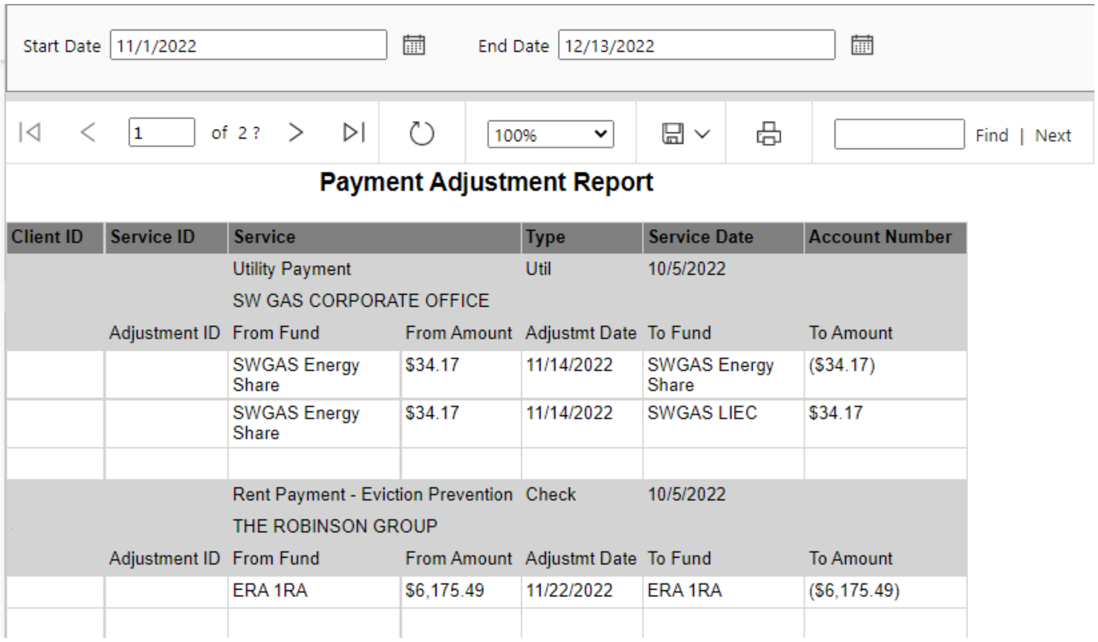
F1: Disconnect Notice/Non-Delivery Notice and Currently Disconnected or Out of Fuel Data (Performance Measures Table 4, Tier 2 - Measures 3 & 4)

Type of LIHEAP Assistance	Disconnect notice or non-delivery notice prior to benefit	Disconnected or Out of Fuel/No Service prior to benefit	Totals
A. Regular LIHEAP	155	10	165
B. Supplemental LIHEAP	121	5	125
Total of both types of LIHEAP	193	13	290

F2: Household Energy Education by Type (Assurance 16 - Energy Education, Advocacy, Counseling)

A. In office	718
B. In Home	
C. Workshop	
D Mailed Kit	
Total	718

2.1.28.7 Service Adjustment Report



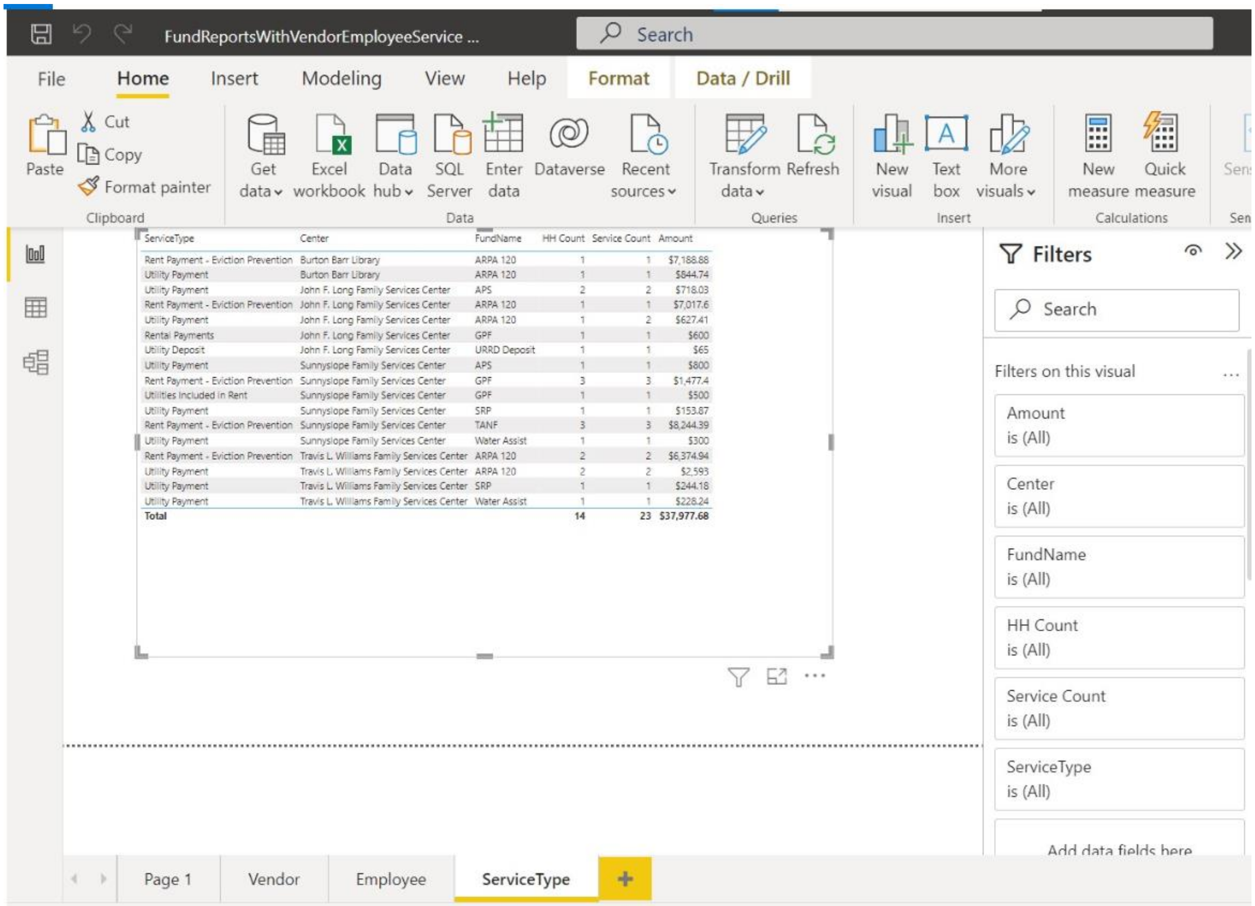
Start Date 11/1/2022 End Date 12/13/2022

1 of 2 ? 100% Find | Next

Payment Adjustment Report

Client ID	Service ID	Service		Type	Service Date	Account Number
		Utility Payment		Util	10/5/2022	
		SW GAS CORPORATE OFFICE				
	Adjustment ID	From Fund	From Amount	Adjustmt Date	To Fund	To Amount
		SWGAS Energy Share	$34.17	11/14/2022	SWGAS Energy Share	($34.17)
		SWGAS Energy Share	$34.17	11/14/2022	SWGAS LIEC	$34.17
		Rent Payment - Eviction Prevention		Check	10/5/2022	
		THE ROBINSON GROUP				
	Adjustment ID	From Fund	From Amount	Adjustmt Date	To Fund	To Amount
		ERA 1RA	$6,175.49	11/22/2022	ERA 1RA	($6,175.49)

2.1.29.3 Power BI

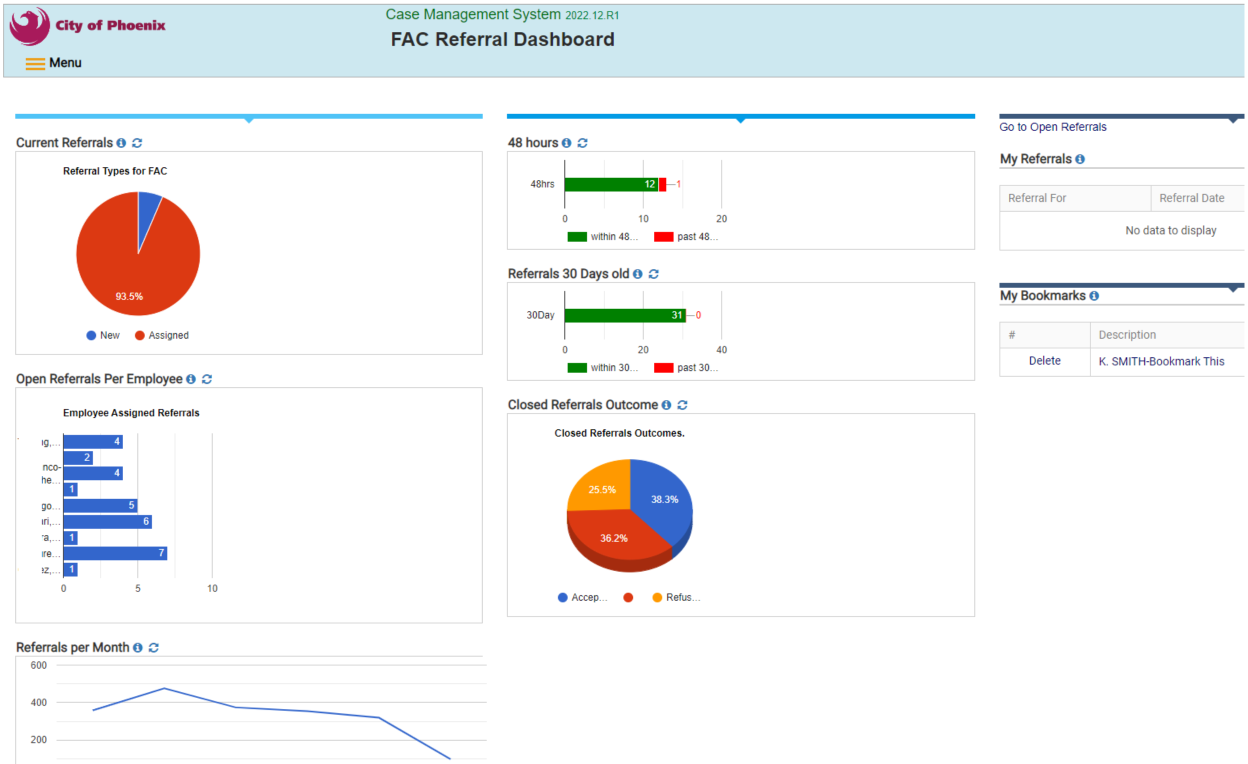


2.1.33.8 Fund Matrix

Income	What are the Income Guidelines?	Low	High	If Elderly or Disabled does the guideline change?	Are Income Limits Waiveable?	Is Medicare deducted from Gross Income?	Does income from employment need to be tracked?
APS	☒ FP Guideline ☐ FP Median	200%	200%	☐ Yes ☒ No	☐ Yes ☒ No	☐ Yes ☒ No Yes?	☐ Yes ☒ No
CSBG	☒ FP Guideline **125%** ☐ FP Median	125% or 150% (elderly/disabled)	150% (temporarily 200% through Dec 16,2022)	☐ Yes Yes ☒ No	☐ Yes ☒ No	☐ Yes ☒ No	☐ Yes ☒ No
EPEH	☐ FP Guideline ☒ FP Median **80%**	? Not currently used by FSCs		☐ Yes ☒ No	☐ Yes ☒ No	☐ Yes ☒ No	☐ Yes ☒ No
ESGP	☒ FP Guideline **125%** ☐ FP Median	? Not currently used by FSCs		☒ Yes **150%** ☐ No	☒ Yes ☐ No	☐ Yes ☒ No	☐ Yes ☒ No
Emergency Shelter	☒ FP Guideline **125%** ☐ FP Median	? Not currently used by FSCs		☒ Yes **150%** ☐ No	☒ Yes ☐ No	☐ Yes ☒ No	☐ Yes ☒ No
LIHEAP	☒ FP Guideline **150%** ☐ FP Median and SMI 60%?	150%	150%	☐ Yes ☒ No	☐ Yes ☒ No	☒ Yes ☐ No	☒ Yes ☐ No
LIHEAP Supplemental	☒ FP Guideline **150%** ☐ FP Median and SMI 60%?	60% SMI (HH 1-8) 150% FPB (HH 9+)	60% SMI (HH 1-8) 150% FPB (HH 9+)	☐ Yes ☒ No	☐ Yes ☒ No	☒ Yes ☐ No	☐ Yes ☒ No

*Truncated graphic

2.2.11.2 FAC Referral Dashboard



2.2.14.1 VOCA Quarterly Report

City of Phoenix Family Advocacy Center

VOCA Match Client Service/Demographic Statistics

From 10/1/2021 to 12/31/2021 Run Date: 12/13/2022 10:50:13 AM

Clients Provided Services	Total Distinct Persons
New Client	583
Total Clients (unduplicated)	583

Gender (new clients ONLY)	Total Distinct Persons
Female	520
MALE	61
Other	2
Total	583

Anonymous Clients	0

Description of Other gender as specified above
443729 , 443246 male identifies as female, 443729

Ethnicity (new clients ONLY)	Total Distinct Persons
American Indian / Alaska Native	14
Asian	1
Black/African American	95
Latino	192
Multiple Races	69
Not Reported	40
Some Other Race	2
White Non-Latino / Caucasian	170
Total	583

Age (new clients ONLY)	Total Distinct Persons
0 - 12	8
13 - 17	6

*Truncated graphic

2.2.15.3 APRAISE Setup

City of Phoenix

Case Management System 2022.12.R1

APRAIS Question Setup

Menu

Add New	Minimum Score Required	Danger Level	Active
Edit	7	Variable Danger	☐
Edit	13	Increased Danger	☐
Edit	17	Severe Danger	☐
Edit	100	Extreme Danger	☐
Edit	2	"Elevated Risk"	☑
Edit	4	"High Risk"	☑
Edit	0	No Score	☑
Edit	1	N/A	☐

Add New	Tier Number	Tier Name	Is Scored
Edit	1	Tier 1	☑
Edit	2	Tier 2	☐

To change tab order, select a row and click Up or Down button.

Add New	Question Number	Description	Display Order	Active	Danger Assessment Tier	Is Unscored Override
Edit	1	Has physical violence increased in frequency or severity over the past six months? Alternate wording: Is the pushing, grabbing, hitting, or other violence happening more often? ¿Ha incrementado en frecuencia o gravedad la violencia física durante los últimos seis meses? Estilo alterno: ¿Ocurren con más frecuencia los empujones, agarrar con fuerza, los golpes u otras formas de violencia?	1	☑	Tier 1	☐
Edit	2	Is he/she violently and constantly jealous of you? ¿Él/ella siente celos de usted violenta y constantemente?	2	☑	Tier 1	☐
Edit	3	Do you believe he/she is capable of killing you? ¿Cree que él/ella sea capaz de matarla/o?	3	☑	Tier 1	☐
Edit	4	Have he/she ever beaten you while you were pregnant? (e.g. hit, kicked, shoved, pushed, thrown, or physically hurt with a weapon or object) ¿Alguna vez la ha golpeado mientras estaba embarazada? (por ejemplo: pegarle, patearla, darle empujones, aventarla, arrojarla o herirla físicamente con un arma u objeto)	4	☑	Tier 1	☐

2.3.2.1 Online Intake Form

Time In: ______ ☐ **SPA** ☐ **ENG** **Phone Call** ☐ **Walk In** ☐ **Date:** ____________________ **Appointment Time:** _____________

LANDLORD AND TENANT PROGRAM
City of Phoenix | Human Services Department

INTAKE INFORMATION - INFORMACIÓN DE ADMISIÓN

Name
Nombre ____

Birthdate
Fecha de Nacimiento ________________

Age
Edad __________

Address
*Domicilio*____

City,State,Zip
Ciudad,Estado,Código Posta ________________________________

Home Phone #
 # de Hoga ___________________

Cell Phone #
 # de Cellular _______________________

Email Address
Correo Electronico ________________________

Race
Raza
☐ American Indian/*Alaskan Native Americano/Nativo de Alaska*
☐ American Indian/Alaskan Native/ *Americano Nativo de Alaska*
☐ Asian/*Asiático*
☐ Asian and White/*Asiático y blanco*
☐ Black or African American/ *Negro o Afroamericano*
☐ Native Hawaiian or Other Pacific Islander *Nativo Hawaiana o Otro Isleno del Pacifico*
☐ Other Multiple race/*Multirracial*
☐ White/*Blanco*

Ethnicity
Etnicidad
☐ Hispanic/*Hispano*
☐ Not Hispanic/*No Hispano*

I am the
(Yo soy el/la:)
☐ Landlord/Own *Propietario(a)/Arrendador*
☐ Tenant/Renter *Inquilino(a)/Renta*

Gender
(Género)
☐ Male/*Masculino*
☐ Female/*Mujer*
☐ Other/*Otro*

Live in a rural area
(Vive en zona rual)
☐ Yes/*Si*
☐ No

Education
(Educación)
☐ N/A/*No es applicable*

Reason for Visit/Check all that apply
Razon de Visita/Marque todas las que apliquin
☐ Repairs/*Repararciones*
☐ Eviction/*Desalojo*
☐ Security Deposit/*Deposito de Seguridad*
☐ Problems with Bed bugs/ *Problemas con Chinches*
☐ Other/*Otro* ____________________
____

Do you need a referral to receive financial assistance or case management?
Necesita una referencia para recibir asistencia financiera o administración de casos?
☐ Yes/*Si*
☐ No

Entire Family Income
Ingreso de la Familia Entera
Total Annual Income/*Ingreso Anual total:*$

*Truncated graphic

2.3.8 Work Plan

Action	Action Details	Reason	Outcomes	Date	Date To Be Completed
Serving Notices: If notice is mailed by registered or certified mail the tenant or landlord is deemed to have received such notice on the date the notice is actually received by him or five days after the date the notice is mailed whichever occurs first.	In the case of hand delivery, client may bring a witness to verify that the notice was received. In the case of certified mail, the notice is received when landlord signs for it, or 5 days after the date the notice is mailed, whichever occurs first.	Serving Written Notice (§ 33-1313)		12/2/2022	
Other - The following steps/solutions (were identified by tenant):	ARS 33-1368 states that if there is a material noncompliance by the tenant, the landlord may deliver a written notice and that the lease will terminate on a date not less than 10 days after receipt of notice if breach is not remedied in 10 days.	Other		12/2/2022	
Other: Write a letter to dispute allegations and seek legal counsel for representation and/or assistance.	Client can write a dispute letter, explaining in details why she disagrees with the notices and attach proofs.	Other		12/2/2022	
Other - The following steps/solutions (were identified by tenant):	Client can visit azcourts.gov/eviction, or see Part 12 on the Tenants' Rights and Responsibilities Handbook, for more information on eviction process.	Other		12/2/2022	
Access/Notice: Deliver a notice for unlawful entry/abuse of access of rental property. Notice must be delivered by hand delivery or certified mail or registered mail with return receipt requested. Keep a copy for your records.	Client can serve the landlord with a Notice of Abuse of Access.	Access Notice (§ 33-1343)		12/2/2022	
Remedies/Access: Decide which remedy to take obtain injunctive relief to prevent the recurrence of the conduct or terminate the rental agreement. In either case the tenant may recover actual damages not less than an amount equal to one month's rent.	Client can choose remedies from ARS 33-1376 if the landlord does not stop: seek injunctive relief in a Superior Court or terminate the lease agreement. In either case, the tenant may recover actual damages not less than an amount equal to one month's rent.	Remedies for abuse of access (§ 33-1376)		12/2/2022	
Other - The following steps/solutions (were identified by tenant):	Client can elevate her concern to his/her housing authority. Each housing authority has its own grievance procedure that a tenant can follow to file a grievance.	Other		12/2/2022	
Other - The following steps/solutions (were identified by tenant):	Client can contact the Multifamily Housing Complaint Line at 800-MULTI-70 or 800-685-8470 (TTY 800-432-2209) to report a bad landlord in Federal Housing.	Other		12/2/2022	
Other - The following steps/solutions (were identified by tenant):	Client can contact Arizona Attorney General's Office at 602-542-5025, or email to 'consumerinfo@azag.gov', or Task Force Against Senior Abuse (TASA), at 602-542-2124.	Other		12/2/2022	
Other - The following steps/solutions (were identified by tenant):	For Legal Assistance for Eviction Prevention, please visit:https://www.maricopa.gov/5763/Legal-Assistance-for-Eviction-Prevention	Other		12/2/2022	

In order to take active participation in the resolution of my rental housing conditions I (we) agree to take the above action steps. I further acknowledge and understand that: Upon review of any additional documents during the counseling session the counselor may add additional action items to this list
Disclaimer: The information contained in this document is intended for educational purposes on current landlord and tenant issues or topics disclosed during the counseling session. The summary provided in this document is NOT legal advice or a legal opinion. Landlord/Tenant Counselor are not attorneys. For legal advice clients may seek independent legal counsel for specific issue(s) or concerns. Arizona Landlord and Tenant laws are subject to change should another issue arise after the counseling session you may return for additional rental housing counseling services.

_______________________________ _________
(Date)

_______________________________ _________
(Counselor) (Date)

2.3.13.1 CBDG Quarterly Report

FY 2021-22 Q1 July 1, 2021 - September 30, 2021 CDBG Report

Landlord and Tenant Program: Total Units of Services Provided

	Total Phoenix Q1	Total All Q1	Percentage Phoenix
Total Clients Served	**1045**	**1254**	**83.33%**

Performance Indicators: Landlord and Tenant Appointments

Appointments Conducted			
	Total Phoenix Q1	**Total All Q1**	**Percentage Phoenix**
Landlord Appointments	15	18	83.33%
Tenant Appointments	291	426	68.31%
Total Clients Served	**306**	**444**	**68.92%**

Landlord/Tenant Counselor Contacts	Total Phoenix Q1	Total All Q1	Percentage Phoenix Served Q1
Landlord Calls	16	23	69.57%
Tenant Calls	162	209	77.51%
Landlord and Tenant Emails	427	444	96.17%

2.3.13.2 COP Weekly Report

Landlord / Tenant Counselor Weekly			
Date Range	Dec 1-2		
Counselor Name			
Clients Seen and Entered into CM			Total
	Non City of Phx	Phoenix Resident	
Landlord Calls			
Landlord Office Visits			
Tenant Office Visit			
Tenants Calls	1	5	
Total	1	5	6
Clients NOT entered in CM			
	Non City of Phx	Phoenix Resident	
Landlords			
Tenants	1		
Calls Requesting Education			
Email Requesting Education		5	
Total	1	5	6
Community Outreach/ Education			

Landlord / Tenant Counselor Weekly			
Date Range	Dec 1-2		
Counselor Name			
Clients Seen and Entered into CM			Total
	Non City of Phx	Phoenix Resident	
Landlord Calls			
Landlord Office Visits			
Tenant Office Visit		1	
Tenants Calls	2	7	
Total			
Clients NOT entered in CM			
	Non City of Phx	Phoenix Resident	
Landlords			
Tenants	1		
Calls Requesting Education			
Email Requesting Education	1	4	
Total	2	4	6
Community Outreach/ Education			

Landlord / Tenant Counselor Weekly Numbers			
Date Range			
Counselor Name			
Clients Seen and Entered into CM			Total
	Non City of Phx	Phoenix Resident	
Landlord Calls			
Landlord Office Visits			
Tenant Office Visit			
Tenants Calls			
Total		0	0
Clients NOT entered in CM			
	Non City of Phx	Phoenix Resident	
Landlords		1	
Tenants		4	
Calls Requesting Education			
Email Requesting Education			
Total	0		
Community Outreach			

Landlord / Tenant Counselor Weekly Numbers			
Date Range			
Counselor Name	COMBINED		
Clients Seen and Entered into CM			Total
Landlord Calls	0	0	
Landlord Office Visits	0	0	
Tenant Office Visit	0	1	
Tenants Calls	3		
Total	3		
Clients NOT entered in CM			
	Non City of Phx	Phoenix Resident	
Landlords	0		
Tenants	2		
Calls Requesting Education	0	0	
Email Requesting Education	1	9	10
Total			
Community Outreach/ Education			

2.3.14.2 LTP Fund Matrix

Fund Name	Imminent Hazard	What are the Income Guidelines?	If Elderly or Disabled does the guideline change?	Are Income Limits Waiveable?	Is Medicare deducted from Gross Income?	Must be a City of Phoenix Resident	Does income from employment need to be tracked?
CDBG and GPF	☒ Yes ☐No	☒ AMI Low to Moderate ☐FP Median	☐ Yes ☒No	☐ Yes ☒No	☐ Yes ☒No	☒ Yes ☐No	☐ Yes ☒No

CDBG and GPF allowed service types:

1. Extended temporary housing costs. (i.e. hotel, motel)
2. Pet Boarding expenses
3. Utility Deposit
4. Security Deposit (Apartment)
5. One Time Only Rent Deposit and Payment
6. Gift Cards and Bus Passes

EXHIBIT E – FEE SCHEDULE

Implementation Cost: ________________________

Support and Hosting Costs Year 1 ________________________

Support and Hosting Costs Year 2 ________________________

Support and Hosting Costs Year 3 ________________________

Support and Hosting Costs Year 4 ________________________

Support and Hosting Costs Year 5 ________________________

TOTAL PROJECT COST ________________________

Hourly Rate for Enhancements ________________________

NOTE: The system requires periodic changes to ensure compliance with various grants. Changes include setting up new grants, developing criteria for payments, updates to data collected, reporting, etc. These can be supported with configuration or programming based on the type of change. Annually, up to 10 such grant changes are anticipated with effort ranging as follows:

1) **Mini** – up to 16 hrs.
2) **Small** - up to 40 hrs.
3) **Medium** - up to 80 hrs.

Provide costing methodology including discounts.

Owner Controlled Enhancement budget for term: $500,000

EXHIBIT F - EVALUATION AND SCORING CRITERIA

EVALUATION CRITERIA

In accordance with Administrative Regulation 3.10, Qualifications Based Selections, contracts will be awarded to the most highly qualified and responsible offerors, taking into consideration the evaluation criteria set forth in the request for qualifications. The evaluation criteria are listed below along with the possible points assigned to each. Additional information for each criterion is provided below.

ID	Evaluation Criteria	Points
1	Requirements implemented on a robust, secure, and managed platform a. Requirements b. Platform	400
2	Proven Methodology a) Proposed project team structure and deliverable timeline b) Sprint/iterative development c) Use of DevOps practices d) Use of 1) User Stories with acceptance criteria and 2) Wireframes e) Test strategy f) Training plan g) Support procedures and personnel in place	200
3	Overall cost	200
4	Organizational experience and capacity a. Minimum Project Staffing b. 5-year experience incl team size, overall cost, duration	200
	Total Available Points	**1000**

EVALUATION RUBRIC

In accordance with Administrative Regulation 3.10, Qualifications Based Selections, contracts will be awarded to the most highly qualified and responsible offeror(s), taking into consideration the evaluation criteria set forth in the request for proposals. The evaluation criteria are listed below along with the possible points assigned to each. The evaluation criteria sections will be evaluated in the following format:

Criteria 1: Requirements Implemented on a Robust, Secure, and Managed Platform	400 Points
Criteria 2: Proven Methodology	200 Points
Criteria 3: Cost	200 Points
Criteria 4: Organizational Experience and Capacity	200 Points
TOTAL AVAILABLE POINTS:	**1,000 Points**

Rating Definitions for Criteria 1 and 2	% of Max Points
Above Expectations = The Offeror's response meets all requirement(s) outlined in the RFP and exceeds what is required in some areas.	100% Points
Meets Expectations = The response meets the requirement(s) outlined in the RFP.	75% Points
Below Expectations = The response minimally addresses the requirement(s) of the RFP, but one or more major considerations of the requirement(s) is not addressed, or the experience and/or solution is so limited that it results in a low degree of confidence in the response or proposed solution.	50% Points
Unacceptable = The response fails to address the requirement(s) of the RFP or fails to provide any experience related to the requirement(s) of the RFP or elements of the proposal are unacceptable.	0 Points
Rating Definitions for Criteria 3	**Max Points**
Lowest price divided by Offeror's price multiplied by total number of points assigned to price.	200 points

EXHIBIT G – SUPPLEMENTAL TERMS AND CONDITIONS

1. Uniform Administrative Requirements

Consultant agrees and acknowledges that this Agreement is subject to the federal Uniform Administrative Requirements codified at 2 C.F.R. Part 200, as applicable.

2. Procurement of Recovered Materials

A non-Federal entity that is a state agency or agency of a political subdivision of a state and its contractors must comply with section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act. The requirements of Section 6002 include procuring only items designated in guidelines of the Environmental Protection Agency (EPA) at 40 CFR part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition, where the purchase price of the item exceeds $10,000 or the value of the quantity acquired during the preceding fiscal year exceeded $10,000; procuring solid waste management services in a manner that maximizes energy and resource recovery; and establishing an affirmative procurement program for procurement of recovered materials identified in the EPA guidelines.

3. **Prohibition on Certain Telecommunications Equipment**

Consultant is prohibited from obligating or expending funds to (i) procure or obtain; (ii) extend or renew a contract to procure or obtain; or (iii) enter into a contract to procure or obtain equipment, services or systems that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. Covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities) and such other entities described in 2 C.F.R. 200.216.

4. Domestic Preferences for Procurements

(a) As appropriate and to the extent consistent with law, Consultant should, to the greatest extent practicable under a Federal award, provide a preference for the purchase, acquisition, or use of goods, products, or materials produced in the United States (including but not limited to iron, aluminum, steel, cement, and other manufactured products). The requirements of this section must be included in all subawards including all contracts and purchase orders for work or products under this award.

(b) For purposes of this section:

(1) “Produced in the United States” means, for iron and steel products, that all manufacturing processes, from the initial melting stage through the application of coatings, occurred in the United States.

(2) “Manufactured products” means items and construction materials composed in whole or in part of non-ferrous metals such as aluminum; plastics and polymer-based products

such as polyvinyl chloride pipe; aggregates such as concrete; glass, including optical fiber; and lumber.

5. Clean Air Act and Federal Water Pollution Control Act; Generally Applicable Federal Environmental Laws & Regulations

Consultant will comply with all applicable standards, orders or regulations Issued pursuant to the Clean Air Act (42 U.S.C. 7401-7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251-1387). Violations must be reported to the Federal awarding agency and the Regional Office of the Environmental Protection Agency (EPA). Consult will comply with all generally applicable federal environmental laws and regulations.

6. Byrd Anti-Lobbying Amendment (31 U.S.C. 1352)

Consultant hereby certifies, to the best of its knowledge and belief, that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of Subrecipient, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of and Federal contract, grant, loan, or cooperative agreement.

(b) Each contractor tier must certify to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization or influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352.

(c) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, Subrecipient shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions. Such disclosures are forwarded from tier to tier up to the non-Federal award.

Consultant will comply with 31 CFR Part 21, as applicable.

7. Victims of Human Trafficking

Consultant agrees to follow the requirements of Section 106(g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104(g)) and ensure that it and none of its employees engage in severe forms of trafficking in persons, procure commercial sex acts during the Agreement term, used forced labor in the performance of its obligations under this Agreement. Consultant agrees to notify the City immediately once it has information from any source alleging a violation of this Section.

8. Debarment and Suspension (Executive Orders 12549 & 12689)

Consultant will comply with Executive Orders 12549 and 12689, Debarment and Suspension, and implementing regulations found at 2 CFR Part 180 and 31 CFR Part 19. The City may, by giving written notice to Consultant, immediately terminate this Agreement if the City determines that Subrecipient has been debarred, suspended, or otherwise lawfully prohibited from participating in any public procurement activity, including but not limited to, being disapproved as a subcontractor of any public procurement unit or other governmental body. Consultant will include a term or condition in all related contracts and subcontracts described in 2 CFR Part 180, Subpart B that the award is subject to 2 CFR Part 180 and 31 CFR Part 19.

9. Drug Free Workplace

Consultant will comply with drug-free workplace requirements consistent with the 31 CFR Part 20 and sections 5152-5158 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701-707).

10. Federal Funding Accountability and Transparency Act (FFATA)

Consultant will comply with the requirements of 2 CFR Part 25, Universal Identifier and System for Award Management (SAM). Consultant must have an active registration in SAM in accordance with 2 CFR Part 25, Appendix A, and have a Data Universal Numbering System (DUNS) number. Consultant will also comply with the provisions of FFATA which includes requirements on executive compensation, and 2 CFR Parts 25 and 170.

11. Protections for Whistleblowers

Consultant will comply with statutory requirements for whistleblower protections at 10 U.S.C. 2409, 41 U.S.C. 4712, and 10 U.S.C. 2324, 41 U.S.C. 4304 and 4310.

12. Indebtedness to Internal Revenue Service or Other Public Entity

(a) Any judgment, lien, levy or outstanding amount owed to the Internal Revenue Service, State, County, City or other public entity by the Consultant will constitute an event of default or breach of this Agreement for purposes of Section XX (Default/Remedies Section Reference), unless previously approved by the City in writing, and may constitute sufficient reasons for cancellation of this Agreement by the City according to the procedures contained in this Agreement.

(b) Prior to entering into this Agreement and during the time period covered by this Agreement, the Consultant will disclose any information related to the preceding paragraph. This will also include the immediate reporting of breaches in payback arrangements or breaches in other agreements related to the above. Failure to comply with any disclosure provision in this Section may also constitute sufficient reason for cancellation of this Agreement by the City according to the procedures contained in this Agreement.

13. Local Fiscal Recovery Fund Award Terms & Conditions

Consultant will comply with the ARPA contract requirements set forth in the U.S. Department of the Treasury Coronavirus Local Fiscal Recovery Fund Award Terms and Conditions attached as the following page.

14. CONTRACTING WITH SMALL AND MINORITY BUSINESSES, WOMEN'S BUSINESS ENTERPRISES (2 CFR § 200.321)

To award a fair share of contracts to small and minority businesses and women's business enterprises, Consultant will take affirmative steps to assure that small and minority businesses and women's business enterprises are utilized when possible as sources of supplies, equipment, construction, and services. Such affirmative steps will include the following:

14.1. Include qualified small and minority businesses and women's business enterprises on solicitation lists.

14.2. Assure that small and minority businesses and women's business enterprises are solicited whenever they are potential sources.

14.3. When economically feasible, divide total requirements into small tasks or quantities to permit maximum participation from small and minority businesses and women's business enterprises.

14.4. Where the requirement permits, establish delivery schedules which encourage participation by small and minority businesses and women's business enterprises.

14.5. Use the services and assistance of the Small Business Administration and the Minority Business Development Agency of the Department of Commerce and the Community Services Administration as required.

14.6. Comply with the applicable requirements of the Small and Disadvantaged Business Enterprise Policy Plan for the City of Phoenix.

14.7. Include affirmative steps, one through six in any subcontract.

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