PHOENIX
DATA CORPORATION

RFP #22-71264

State of Indiana
Family and Social Services Administration (FSSA)
Document Center Services
Attachment F – Technical Proposal

Date of Submission June 1, 2022

SUBMITTED BY:

Phoenix Data Corporation

Indiana Women's Business Enterprise (WBE) certified through March 31, 2025

Women's Business Enterprise National Council (WBENC) Certified WOSB

Women Owned Business (Sub S) under certification # 0000002935 with IDOA

SUBMITTED TO:

Teresa Deaton-Reese, Strategic Sourcing Analyst

Indiana Department of Administration

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III

I. Attachment F TECHNICAL PROPOSAL

Phoenix Data Corporation (PDC) is the current Document Center Services vendor. PDC has been providing Document Center Services to FSSA for 16 years while continually improving processes, reducing cost and meeting every KPI. Team Phoenix is comprised of PDC, Professional Management Enterprises (PME) and netlogx. We will provide additional information for our subcontractors under section 6g below.

Phoenix Data Corporation (Prime)

Phoenix Data Corporation, Inc. (PDC) is a Woman Owned Small Business (WOSB) and Indiana Certified Women's Business Enterprise (WBE), established in 2001 and based in Indianapolis, Indiana. PDC currently holds a large single source Federal IDIQ (Secret) that includes a National Archives and Records Administration (NARA) Compliant Document Management Facility that is co-located in the PDC Data Center in Indianapolis. PDC holds a Secret Facility Clearance and this contract requires all personnel to hold Secret clearance. In addition, PDC has held Prime Document Management & Administrative Support Contracts for the Department of Treasury and the State of Indiana Family and Social Services Administration. PDC is currently operating Help and Technical Support Desk Services for Tier 1, Tier 2 and Tier 3 for Human Service Agencies in Indiana, Connecticut, New York and New Jersey. PDC is a leading information systems and logistics company and provider of large-volume scanning. PDC has established a reputation for delivering document management and other process solutions that create greater efficiency, productivity, and cost savings. Our team is trained to maintain critical speed and accuracy in a full array of operations, information, and document management services. PDC operates under performance and quality measurements that require the coordination of staff assignments between responsibilities while supporting volume surges and changes to workflow. PDC utilizes leading hardware and software products to complement experienced operational personnel and project management services to ensure the success of our solutions. Our corporate headquarters has been located in Indianapolis for over thirty years positioned amongst the scenic surroundings of the former Fort Benjamin Harrison facility on the city's east side. In addition to housing our corporate staff and infrastructure facilities, the main Indianapolis facility was established to centralize our fringe, G&A, and overhead costs. We currently have a consistent company-wide benefits program and fringe rate calculations covering all our employees. PDC strives to provide a company culture and environment that encourages low attrition and the retention of our valuable employee technical knowledge. A large percentage of our employees have been with us for over 10 years. PDC has been recognized as a "Top Workplace" by local media.

ITEM 1 – Minimum Requirements (RFP Section 1.4.2)

PDC exceeds the requirement with two prime public sector contracts providing mail processing and document scanning services contracts within the last year. For sixteen years, PDC has operated a successful document center onsite at the Grant County Regional Change Center (RCC) located in Marion, Indiana. PDC began work as a subcontractor in 2006 and shifted to the prime contract holder in 2009. Throughout those sixteen years, PDC has continued to aid Indiana's goal of taking manual processes and develop automated solutions wherever possible to expedite the eligibility reviews for all

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FSSA social programs as part of the Indiana Modernization Program, while exceeding all performance expectations.

In addition to managing a mailroom that processes an average of 560,000 pieces of mail annually, PDC also processes additional documentation received via fax, scans from local DFR offices, and electronic document upload. In total, PDC processes an average of more than 10 million pages annually of Indiana eligibility applications and supporting documentation. Our processes include: scanning, indexing, key from image (KFI), verifying, validation, classification, and quality services. These combined operations facilitate applications and supporting documentation getting digitized and uploaded into the eligibility system electronic queues for the State Eligibility Specialists make the final eligibility determinations. PDC has continually exceeded service level objectives that require 90% of all documents to be processed on the same business day of receipt, 100% of mail received scanned within two business days, a classification accuracy of 98%, a KFI and scanned image quality of 99.9%, and 95% of return mail handling processed within 72 hours.

During our partnership with the State of Indiana FSSA, PDC has showed commitment to growth and improvement. PDC's services expanded from one county to all 92 counties in the state of Indiana. When PDC started the project, the expectation was that there would be between 10-15 different document types and this has grown over time to 500 with an additional 100 document types the IEDSS application upgrade added. We have worked through two Captiva software upgrades and are in the planning stages for another upgrade in July 2022. We are also prepared for an OPEX scanner upgrade in the future. Part of our successful growth is due to our involvement in testing for all releases in support of FSSA and other business partners. We partner closely with application program development and DFR staff using an iterative "Agile model" for this project working through business documentation, test case creation, UAT, and smoke testing. That, along with the use of certified Project Management Professional (PMP) and a System Development Life Cycle (SDLC) approach, has allowed us to successfully manage and meet all of our SLA measurements during this multi-phase development and implementation cycle.

PDC provided services for the Federal Alcohol and Tobacco Tax and Trade Bureau (TTB) within the Department of the US Treasury until January 2022. PDC performed this work onsite at the TTB offices located in Cincinnati, Ohio. PDC performed administrative and support services including records management, data entry services, mailroom services, indexing, clerical services, customer support, reception services, scanning, processing operational reports, processing tax documents, and performing file maintenance. This contract included the receipt and distribution of documentation and all the supporting office efforts necessary for TTB employees to work the case files with their clients. Tasks were completed according to the established standards of performance as outlined by a Quality Assurance Surveillance Plan (QASP). PDC developed and implemented a new data capture solution for all original paper applications and amendments received by mail or fax into their Permits Online (PONL) system. PDC successfully converted and indexed their historical file room of 6 Million documents into electronic images in the TTB electronic records management system. Mandatory policy changes were seamlessly implemented while exceeding all expectations during the years of the contract. This contract included the receipt and distribution of documentation and all the supporting office efforts necessary for TTB employees to work these case file with their clients. PDC served in both prime and subcontractor positions on this contract since 2012 managing and performing the mail room, scanning, data entry and indexing functions. PDC processed an average of more than a million documents per year.

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ITEM 2 – Background and Experience

PDC has been serving FSSA as the Document Center Vendor since 2006 exceeding SLAs, KPIs and compliance requirements. The table below provides a snapshot on how PDC has exceeded the monthly SLA measurements for providing same business day processing for the past six years.

Document Center SLA Measurements	Jan-16	Feb-16	Mar-16	Apr-16	May-16	Jun-16	Jul-16	Aug-16	Sep-16	Oct-16	Nov-16	Dec-16	YTD-16
1. Same Day KPI #1a Measurement	99.9%	100.0%	99.9%	100.0%	100.0%	100.0%	99.9%	100.0%	99.9%	99.9%	100.0%	100.0%	**99.96%**
2. Same Day KPI #1b Measurement	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	**100.0%**
3. Same Day KPI #1c Measurement	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	**100.0%**
Document Center SLA Measurements	Jan-17	Feb-17	Mar-17	Apr-17	May-17	Jun-17	Jul-17	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	YTD-16
1. Same Day KPI #1a Measurement	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	**100.0%**
2. Same Day KPI #1b Measurement	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	**100.0%**
3. Same Day KPI #1c Measurement	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	**100.0%**
Document Center SLA Measurements	Jan-18	Feb-18	Mar-18	Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	YTD-18
1. Same Day KPI #1a Measurement	100.0%	100.0%	100.0%	100.0%	99.8%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	**99.98%**
2. Same Day KPI #1b Measurement	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	**100.0%**
3. Same Day KPI #1c Measurement	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	**100.0%**
Document Center SLA Measurements	Jan-19	Feb-19	Mar-19	Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	YTD-19
1. Same Day KPI #1a Measurement	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	**100.0%**
2. Same Day KPI #1b Measurement	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	**100.0%**
3. Same Day KPI #1c Measurement	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	**100.0%**
Document Center SLA Measurements	Jan-20	Feb-20	Mar-20	Apr-20	May-20	Jun-20	Jul-20	Aug-20	Sep-20	Oct-20	Nov-20	Dec-20	YTD-20
1. Same Day KPI #1a Measurement	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	**100.0%**
2. Same Day KPI #1b Measurement	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	**100.0%**
3. Same Day KPI #1c Measurement	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	**100.0%**
Document Center SLA Measurements	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	YTD-21
1. Same Day KPI #1a Measurement	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	**100.0%**
2. Same Day KPI #1b Measurement	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	**100.0%**
3. Same Day KPI #1c Measurement	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	**100.0%**
Document Center SLA Measurements	Jan-22	Feb-22	Mar-22	Apr-22	May-22	Jun-22	Jul-22	Aug-22	Sep-22	Oct-22	Nov-22	Dec-22	YTD-22
1. Same Day KPI #1a Measurement	100.0%	100.0%	100.0%	100.0%	100.0%								**100.0%**
2. Same Day KPI #1b Measurement	100.0%	100.0%	100.0%	100.0%	100.0%								**100.0%**
3. Same Day KPI #1c Measurement	100.0%	100.0%	100.0%	100.0%	100.0%								**100.0%**

PDC works intricately with the Applications Services (AS) vendor daily and weekly on User Acceptance Testing (UAT), Maintenance & Release (MR) Testing for upgrades and Disaster Recovery Testing. In addition, PDC has served multiple State & Federal Agencies in both mail processing and document scanning services for over 20 years. PDC has built long standing relationships with product and software vendors/manufacturers.

PDC is proposing Jennifer Hamilton as our Project Manager. Jennifer has eight years of project management experience and is a Lean Six Sigma Master Black Belt. Jennifer also spent 8 years in multiple roles working for National Government Services (NGS) working on Records Management and Healthcare large volume projects, which included serving as the Records Center Hub Coordinator. Jennifer's Certified Scrum Master credentials will add value to FSSA's SDLC process and PDC's compliance measurements.

PDC is proposing Dawn Jones to continue her role as FSSA Document Center Manager on the new contract. Dawn has successfully served as the Document Center/Operations Manager since 2019 while meeting all the SLAs and KPIs. Dawn has proven success in managing the Document Center's continually changing volume of documents while meeting all KPIs and SLAs with no overtime charged to the state. Dawn has consistently exceeded expectations of PDC and FSSA resulting in her advancement into this current role. Dawn brings a collaborative approach with the FSSA vendors in daily operations and SDLC testing which has resulted in measurable improvements. The teaming of Jennifer's & Dawn's experience and knowledge will ensure the continued success of the program.

ITEM 2a. Document Center Services Experience

PDC has been providing Document Center Services for 16 years. We have learned the documents and processes along the way, adapting to changes and challenges while successfully providing reliable service and continually meeting our KPI and SLA measurements. We have formed strong working relationships with the other partners and the various divisions in the FSSA project. We take all aspects of our contractual obligations seriously while keeping our focus on one thing: helping our fellow Hoosiers in need by processing their documents in a timely manner with quality and precision.

Our staff is dependable, committed to staying until the job is done, and experienced; many team members have been with the project for 10 or more years. We employ extensive cross-training so we are able to strategically move associates to tasks with the greatest concentration of work. One example of our ability to react and adapt happened during the recent COVID outbreak. We were able to split the team, by sending half of our associates to work remotely from home while keeping the other half at the Document Center to ensure that the mail was picked up and scanned. From the first day of implementation, we were able to continue our work without any breaks in service and all KPIs and SLAs were met.

We realize that experience is not enough on its own and that constant re-training is necessary to build and maintain the experience; yet we also know that there is room for improvement in processes and are always looking for ways to improve and streamline our approach. Mail processing is done correctly so that no mail is misplaced, and then sorted so that the envelopes and their contents can be scanned into the correct case. We can identify and process intake documents from a variety of input sources, recognize if one source is not working correctly and communicate to the correct vendor to get the work flowing again.

Our experience in scanning allows us to make appropriate decisions in order to get the best possible quality of documents scanned at our facility. Our skillful scanner operators also keep an eye out for written instructions for returning documents to senders and forwarding checks and money orders to the correct facility when necessary. Additionally, operators look for all original documents, which may or may not be on a state-provided list, in order to return to clients their important original documents. Key From Image (KFI) is executed with care to record each character keyed as it is seen. In order to assure the quality of these processes, we interject quality checks throughout each step to ensure that information is accurate and correct. We prioritize quality checks because we know that in the pursuit of perfection sometimes errors will happen.

Our experience is also useful in SDLC activities. Since we have utilized the Captiva software for so long, we have a deep understanding of how it works and usually how it could work better. PDC knows how to use the software to complete the work quickly and accurately as evident by our continuous success in meeting KPI measurements day after day and especially evident in days after holidays occur when the workload is heavier. On those days, we get two-days' worth of documents completed before we leave, usually dismissing for the day on time without overtime. If there is overtime, the cost is covered by Phoenix without passing those costs onto FSSA. We have memorized the envelope splitting rules for Index QA and Indexing rules. We share that insight during testing and many times catch and fix issues before MR releases. We also include regression testing to ensure that there is no disruption in work processing and workflow in other FSSA areas after the MR is released.

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OPEX scanners, 51 Rapid Extraction Desks, and Omation 206 Letter Openers

We have daily experience operating the various OPEX products in locations other than the Document Center. We understand how to get the best image capture by manipulating the document, darkening or lightening images, changing document orientation to ensure the entire image is captured, and manipulation of the retard pad to get the image to feed correctly to name some. Our understanding goes beyond scanning. Through observation, noting of the various error messages that we receive from the scanners, and watching and asking questions of the OPEX technicians, we are capable of troubleshooting and solving some simple mechanical issues ourselves without having to call work order tickets into OPEX. This has also allowed us to continually meet our KPI measurements for scanning. We are looking forward to the OPEX upgrade/replacements and the positive effects it will have on our day-to-day scanning duties.

Beech Grove DR Document Center

We make a monthly trip down to the DR Document Center to test the OPEX scanners and workstations to make sure that they are production ready should a disaster happen necessitating the relocation of production. We scan batches to make sure the scanners operate as they should and that the batches import into Captiva. We also make sure that the latest Captiva upgrade/production fix is on the workstations, and we run production batches to ensure that these are also production-ready should the need arise.

Kodak Rescan Machine

If an OPEX scanned document is found to be of poor quality in the Captiva Classification Edit or Key for Image (KFI) modules, the operator can reject that document for "Kodak Rescan." This means that the rejected document is sent to a special Captiva module (RR or CE Rescan) and a specially trained operator is able to go into the retention room, find the document, and rescan it, replacing the poor-quality document.

Medical File Transfers

Some medical files are saved on CDs and mailed to the Document Center instead of being printed on paper. Phoenix is experienced in using a special File Transfer program to pull the files off the CD and attach the medical file straight to the correct case. If the CD comes password protected, we know how to remove the password before the file goes to the case.

Captiva

When visitors come to the Document Center and watch our team work in the Captiva modules, they always comment on how fast we are. This speed is the product of many things: practice, memorization and keying skills. Ultimately it is a testament to our proficiency in the version of Captiva that we work with. We know the shortcut keys, the specific commands, image manipulation, and how to find the names of documents quickly. Again, our success in meeting our KPI and SLA measurements day after day serves as proof of our experience with this software. In 2021 we went through a major upgrade of

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Captiva and experience major changes to some of our modules. We were able to prepare and train our team, during the COVID quarantine nonetheless, and still met our KPIs and SLAs without any interruption to production. The Phoenix team is so experienced with Captiva that they can catch problems in the modules and have management report them before the AS vendor is aware.

ITEM 2c. List of Organizations which you have delivered similar services, size, scope, and technical components

PDC has delivered similar services, technical components and at a similar or larger scope & size for the following organizations within the last five years.

Client	Functions	Contract Time Period
State of Indiana Family and Social Services (FSSA) Document Center Services Contract	• Inbound Document Management (including mailroom and electronic documents) • Document Preparation, Opening, Scanning and Separation • Return Mail Management • Document Organization, Retention, and Destruction • Project & Document Center Management	12/27/2016 – 12/26/2022
Department of Treasury Alcohol and Tobacco Tax and Trade Bureau (TTB) Scanning, Indexing & Support Services Contract	• Administrative and Support Services • Mailroom Services, Data Entry Services, Indexing and Large Volume Scanning • Clerical Services & Customer Support • Processing Operational Reports, Tax Returns & Performing File Maintenance • Process Reengineering Services	10/01/2019 – 09/30/2021 (Phoenix Prime) 5/30/2017 – 9/30/2019 (PME Prime – Phoenix Sub)
Department of State Protected Health Information Management Systems Contract Major Subcontractor to MicroHealth, LLC	• Inbound Document Management (including Shipping & Receiving – medical records) • Document Preparation, Inspection, Data Entry, Indexing and Large Volume Scanning • NARA-Compliant Records Storage onsite at PDC Indianapolis Facility • Indexing Pilot Project utilizing Ephesoft Transact Artificial Intelligence System	9/30/2019 – 9/30/2029
Internal Revenue Service (IRS) Scanning as a Service (SCaaS) Digitizing Paper Files Contract Major Subcontractor to Resultant	• Inbound Document Management (Shipping & Receiving Tax Forms) • Indexing and Large Volume Scanning • NARA-Compliant Records Storage and Destruction onsite at PDC Indianapolis Facility • Successfully Completed FISMA Contractor Security Audit with no Cybersecurity findings • Automated Data Capture utilizing Machine Learning and Google DocAI	8/18/2021 – 8/17/2026

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ITEM 2c-1. Describe how that experience is relevant to the services in this RFP

PDC currently serves as the FSSA Document Center Services Contractor performing the exact work within this RFP. PDC previously served as the Scanning, Indexing & Support Services Contract for TTB managing the Department's mailroom onsite in Cincinnati and performing high volume document scanning. This contract is very similar to FSSA's contract in which we received application, compliance and recertification documents and digitized them into the TTB system for the Federal officials to make determinations. PDC began the work as a Prime contractor in 2012 through our 8(a) certification and became a subcontractor to PME in 2017 once our 8(a) had expired. PDC and PME split the staff in half and worked closely in performing all the contract tasks. This is proof of our successful partnership on previous contracts. PDC once again began the Prime contractor in 2019 when the Department of Treasury moved the RFP under the 8 (a) STARS II contract vehicle which PDC held. To learn more about how these contracts are relevant to the services within this RFP please refer to our responses to ITEM 1 Minimum Requirements on page 2 above and to ITEM 2a. Document Center Services Experience on page 4.

PDC currently serves as a major subcontractor to MicroHealth, LLC under a 10-year Department of State (DOS) Indefinite Delivery Indefinite Quantity (IDIQ) contract entitled "Protected Health Information Management Systems." PDC was bid as the solution for Task Order 2 (Physical Records Management) which was awarded along with the IDIQ contract award on 9/30/2019 and runs through 9/30/2029. MicroHealth works closely with PDC. MicroHealth provides the Program Manager who works at the Department of State headquarters in DC and one Supervisor on site at the PDC Indianapolis NARA compliant records management center. PDC provides the remainder of the staff along with the facilities, software, equipment and NARA storage space. In that role, PDC provides the following services: inspection, indexing, scanning, packing, shipping, and NARA storage of medical records (entailing over 3 million pages), including paper files, radiographic images, photos, recordings, and other artifacts. PDC receives medical records from all over the world, the DOS sets the schedule but so far nothing has been received as planned due to COVID. PDC is prepared to receive any volume at any time. All records get stored in our NARA compliant storage until they are scheduled for digitization. PDC is also the official long term NARA storage for all of the physical records and maintains the disposition schedule.
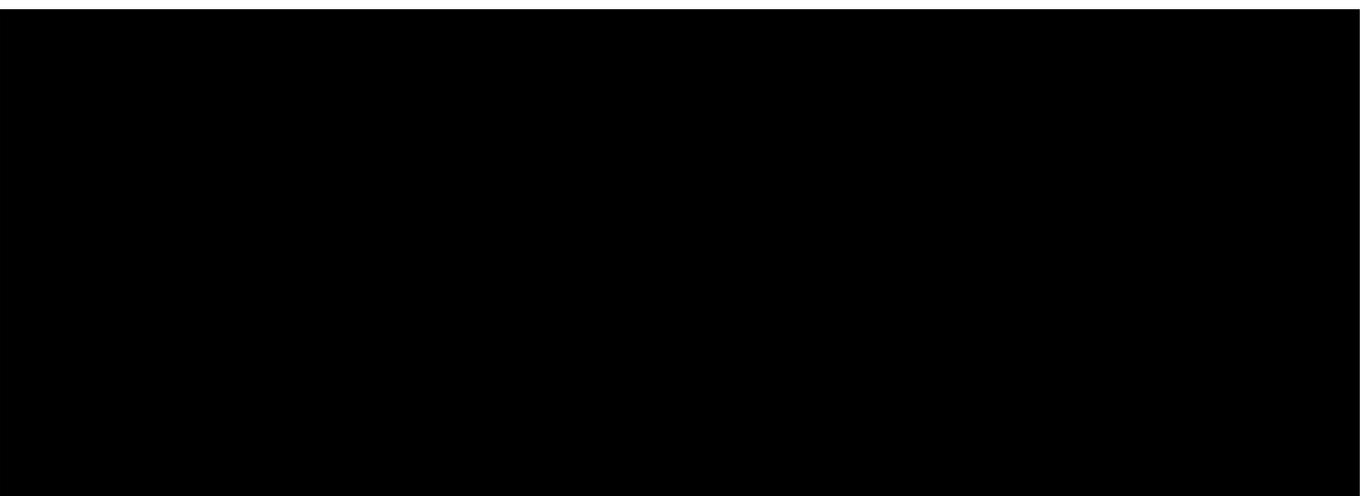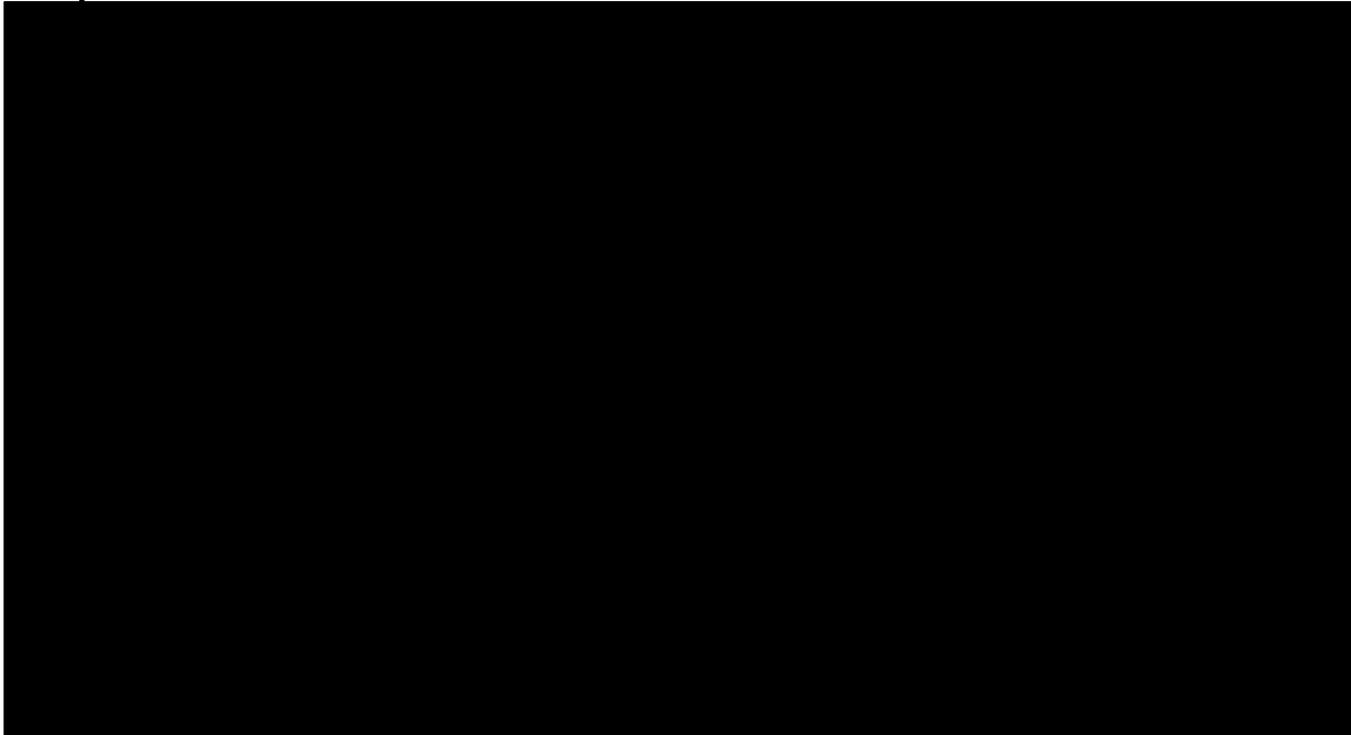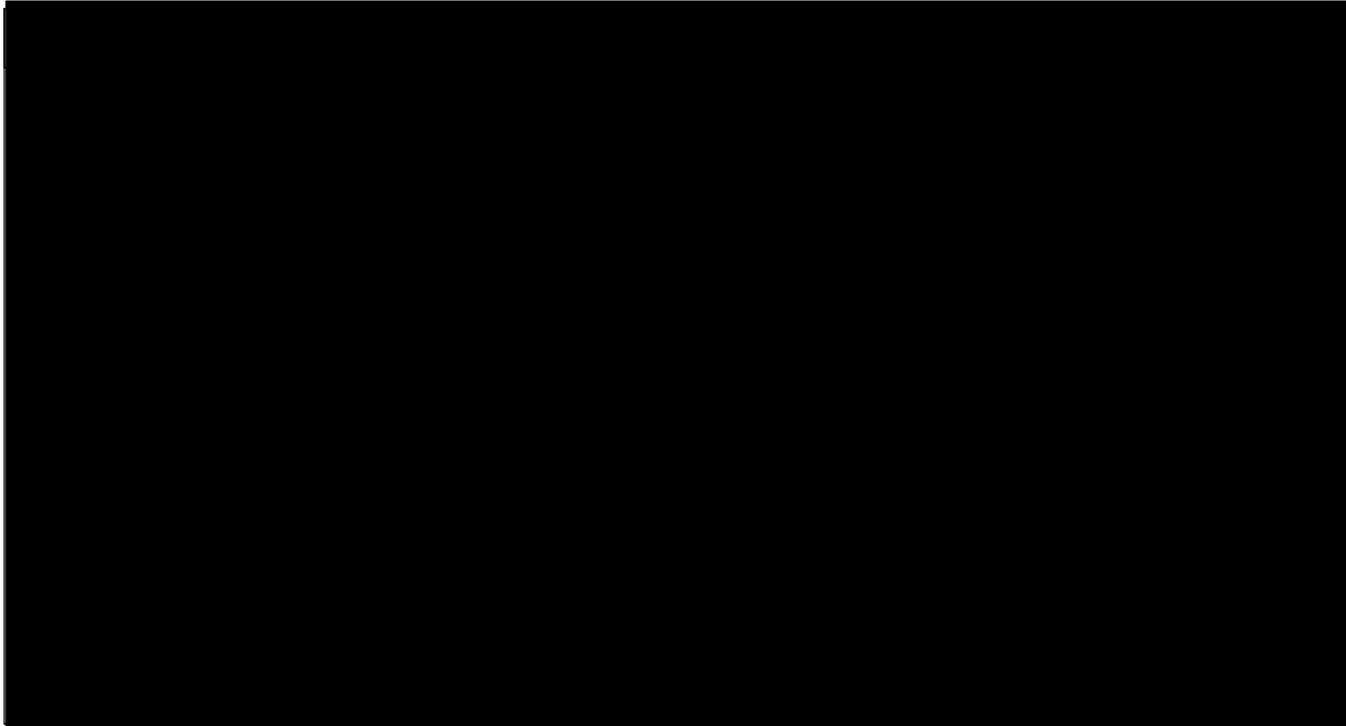
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ITEM 2c-2. Describe any problems and failures that you encountered in delivering your services, how these were resolved, and what were the lessons learned
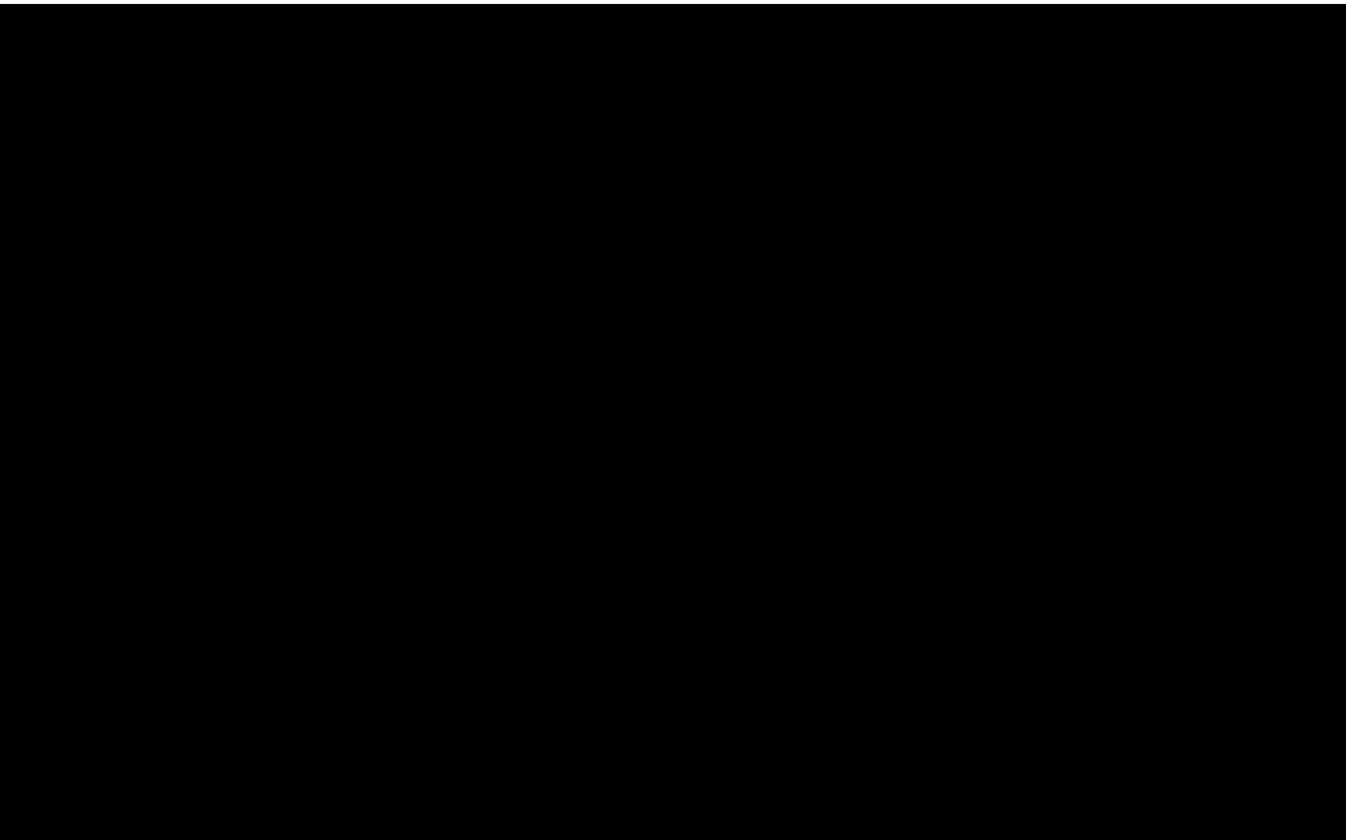
was done in order to test and refine work-flow procedures allowing us to efficiently produce accurate,

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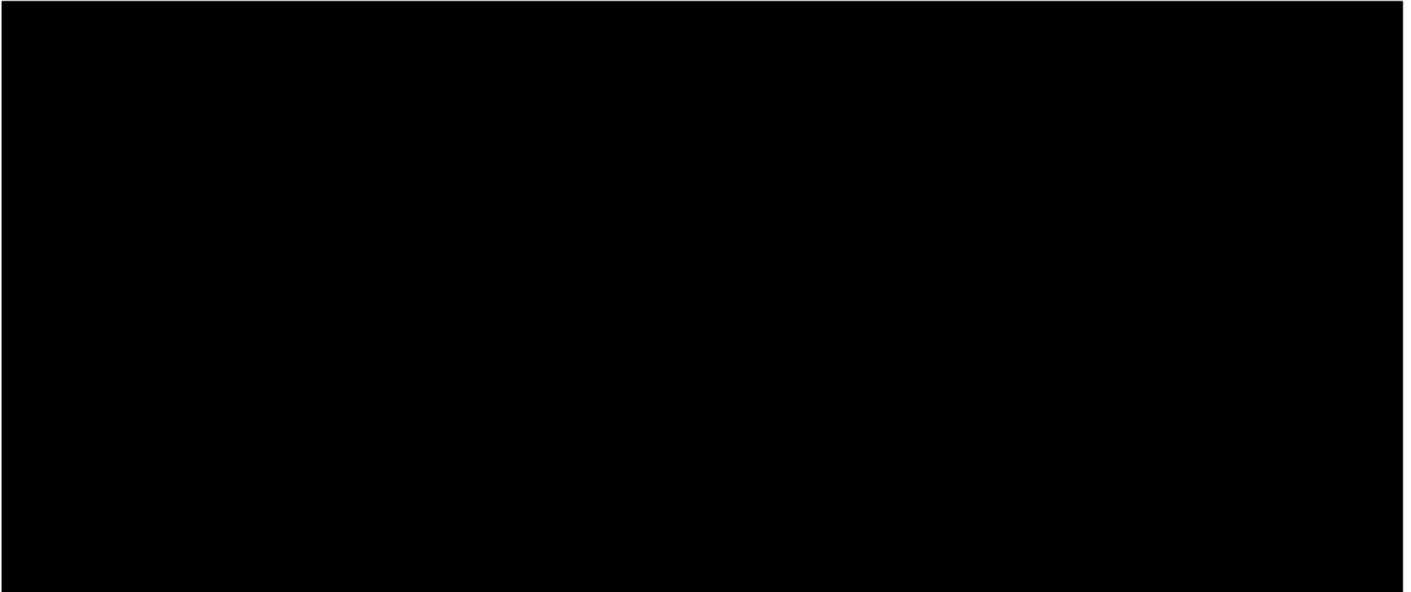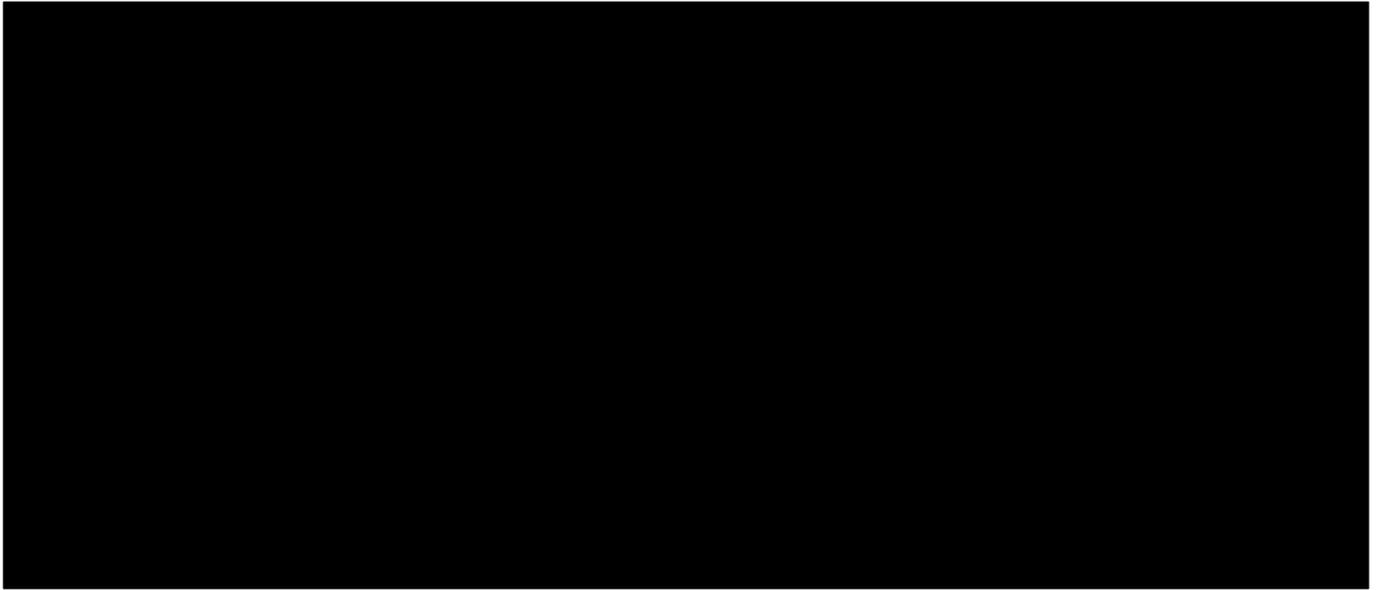
ITEM 2d. Corrective actions

PDC has never received any corrective actions on any of our multiple contracts.

ITEM 2d-1. Disclosures of publicly reported formal corrective actions, security breaches, and lawsuits under previous contracts in the last 10 years

PDC has never had any disclosures of publicly reported formal corrective actions, security breaches, or any lawsuits under previous contracts since our inception in 2001.

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ITEM 2d-2. Disclose any non-publicly reported formal corrective actions, security breaches, and lawsuits under previous contracts in the last 10 years

PDC has never had any disclosures of non-publicly reported formal corrective actions, security breaches, or any lawsuits under previous contracts since our inception in 2001.

ITEM 3 – Approach

PDC's approach to providing FSSA Document Center Services and ensuring compliance is based on the best practices and operating procedures we have identified and implemented from our lessons learned from serving as the Document Center vendor over the last 16 years.

ITEM 3a. Detailed narrative of twelve services described in Section C of Attachment C, Section F of Attachment D and sampling approach for Quality Assurance.

Below, we have provided a detailed narrative of our current approach to each of the twelve services described in Section C of Attachment C, including recommended changes to current standard operating procedures for each service.

ITEM 3a-1. Inbound Mail Handling

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ITEM 3a-2. General Document Handling

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ITEM 3a-3. Return Mail Handling

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ITEM 3a-4. Organization, Retention & Destruction of client non original documents

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ITEM 3a-5. Processing Electronic Data Input (Fax, Network Scans, Document Upload)

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ITEM 3a-6. Manual Document Classification

ITEM 3a-7. Quality Assurance

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ITEM 3a-8. Manual Document Handling

ITEM 3a-9. Facilities and Infrastructure

As the incumbent, Phoenix is already aware of and provides the items listed under "Contractor Responsibility." We currently have associates who pick up the mail in reliable vehicles for which we cover travel costs to and from the Post Office for. We are aware of the supplies and consumables needed

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to successfully operate and meet our KPI measurements. Insurance and liability coverage are currently provided, and other applicable operational fees are met. If the contract is awarded to Phoenix, we will be in a ready position to continue operating as we do now.

ITEM 3a-10. Management

Phoenix's current team in place at the Document Center is trained and cross-trained to perform the various necessary tasks needed to successfully operate. We have several associates who have been employed for 10+ years. They can operate the equipment and have the experience to recognize problems which helps us to keep up with our KPIs. All team members realize that work volume does fluctuate and are willing to stay overtime until the work is done.

Management is comfortable communicating and collaborating with other State contractors. We work with the Development contractor daily, using multiple communication tools to stay in contact. We rely on the designated member of the Service Center to help with addresses and payee identification for the payments we receive. We also have close working relationships with members of the DFR team during UAT testing and project meetings. We realize that we are part of a team and work to be good team members to keep everything running smoothly.

Phoenix continually develops its staff with monthly updates on processes, procedures and changes that occur to FSSA policy. As changes occur to policy, Phoenix will develop additional specific training to enable the staff and management to implement the new policy. Additionally, written standard operating procedures will be updated according to the new policy. As discussed below, netlogx will support us in developing the new procedures and training.

ITEM 3a-11. SDLC Support

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ITEM 3b. Describe the processes you will employ for ensuring compliance with defined procedures as well as privacy and confidentiality requirements for PHI and PII

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The processing and protection of PHI and PII is very important to Phoenix. We put ourselves in the place of the person who is submitting this sensitive information and asking, "What would I want protected or shared if I was this person." It is a responsibility that never ends for us, but we are dedicated to doing the best job possible with what we are entrusted with. It is what Phoenix does here at the Document Center and it is safe to say that we do it well. Our record of no security breaches, fines, or lawsuits in the 16 years that we have been doing this is proof.

ITEM 4 – Transition and Turnover
This section documents PDC's Initial Transition and Turnover Plans and our ability to perform all transitionary activities with no disruption to the Document Center Operation.

ITEM 4a. Transition and Turnover Responsibilities outlined in Section D of Attachment C, including the Initial Transition and the End of Contract Turnover

PDC is the current incumbent of this contract so there will be minimal transition activities with no disruption to current operations. Jennifer Hamilton, the proposed PDC Project Manager will join PDC as a full time employee in June and begin to support Dawn Jones and FSSA after approval by FSSA leadership. PDC will begin setting up new compliance processes not required under the current contract in preparation of contract award. This includes developing a Staffing Plan. The PM's task will be to identify all new requirements and training and create an As Is and To Be model, documenting all of the new requirements. During the Transition Phase the PDC PM will work closely with netlogx in finalizing the Transition & Staffing Plan's for State approval. Transition and Turnover Responsibilities are listed in the tables below:

PDC Transition Responsibilities

Time Frame	Responsibility	Assigned To
By 11/11/22	Finalize Transition Plan and submit for FSSA approval	PM & netlogx
By 11/11/22	Finalize Staffing Plan and submit for FSSA approval	PM & Document Center Manager (DCM)
Upon FSSA Approval	Execute the approved Transition Plan	PM, DCM & Quality Analyst (QA)
By 11/11/22	Develop a comprehensive check list of all vendor start-up activities	PM, DCM & QA
Month 1	Finalize As IS and To Be Model of all changes from incumbent contract to new contract.	PM & netlogx
Month 1	Identify all open positions and work with PME to hire qualified staff	PM, DCM, PDC HR & PME
Month 1 & 2	Identify any new training required and train all staff on new training	PM, DCM, QA & netlogx

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Time Frame	Responsibility	Assigned To
Month 1 & 2	Train all new staff on all required training prior to the end of transition period, provide documentation of all training completed to FSSA	PM, DCM & QA
Month 1	Prepare modifications to the operational procedures as appropriate to the State for approval based on contract changes	PM, DCM, QA & netlogx
Month 2	Submit modifications to the operational procedures as appropriate to the State for approval based on contract changes	PM
Month 2	Develop training for all staff based on all operational procedure changes after FSSA approval	PM, DCM, QA & netlogx
Weekly	Provide the State with regular transition status reports and updates and status of the start-up check list	PM & DCM
Per State Guidance, at least weekly	Schedule meetings to review plans and documentation requirements during the transition/phase-in period of this contract	PM
Per State Guidance, at least weekly	Conduct meetings to review plans and documentation requirements during the transition/phase-in period of this contract	PM & DCM

State Transition Responsibilities

Time Frame	Responsibility
Month 1	Provide policy & compliance documentation as requested
Month 1	Review all Transition Plans, including but not limited to the transition staffing plans
Month 1	Approve all Transition Plans, including but not limited to the transition staffing plans
Month 1	Review the check list of start-up activities
Month 1	Approve the check list of start-up activities
Month 1	Review modifications to the operational procedures as appropriate
Month 1	Approve modifications to the operational procedures as appropriate
Month 2	Provide written approval to begin operations
Month 2	Validate all vendor adherence to Transition Plans and the established work plan
Month 1 & 2	Collaborate with the vendor to provide appropriate time and resources for the vendor to fully complete all phases of the transition
Month 1 & 2	Collaborate with the vendor to execute the Transition Plan
Ongoing	Attend regular transition meetings, at least weekly
Ongoing	Review and provide feedback on transition status reports
Ongoing	Provide access to all State Training and required systems

PDC will develop a State-approved Turnover Plan covering the possible turnover of Document Center Services to either the State or another vendor. PDC will work closely with the successor vendor and State in ensuring a smooth transition with no break in service over the last four months of the contract. Documented turnover responsibilities for PDC, the State are listed in the tables below.

PDC Turnover Responsibilities

Time Frame	Responsibility	Assigned To
4 months out	Freeze Staffing Levels	PM

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Time Frame	Responsibility	Assigned To
4 months out	Finalize Turnover Plan and submit for FSSA approval	PM & DCM
4 months out	Commence Implementation of Turnover Plan following State approval	PM & DCM
3 months out	Ensure all necessary documentation including all operational procedures are stored on the State's SharePoint site or other site designated by the State	PM, DCM & QA
3 months out	Provide copies of all logs and reports delivered during the contract term including: check log, KPI 5 log, page count and legibility log, PCL logs, Certified Firm Sheet log	PM, DCM & QA
2 months out	Successor begins training/shadowing period	PM, DCM & QA
2 months out	Reverse Shadowing of Successor begins	PM, DCM & QA
1 month out	Verify that all turnover activities are completed and any applicable deliverables are approved by the State	PM, DCM & QA
1 month out	Work with Successor HR for all incumbent capture of PDC staff who wish to remain on the FSSA Document Center contract	PM, DCM & QA
Ongoing	Attend all Turnover Meetings to ensure a smooth transition	PM, DCM & QA

State Turnover Responsibilities

Time Frame	Responsibility
4 months out	Review and Approve Turnover Plan
3 months out	Validate that all necessary documentation including all operational procedures have been stored on the State's designated site
Ongoing	Request any additional documentation not provided by PDC with 15 business day response
3 months out	Validate all logs and reports have been delivered
Ongoing	Monitor training and shadowing of Successor Vendor
1 month out	Validate that all turnover activities have been completed and approve all deliverables
Ongoing	Attend regular turnover meetings
Ongoing	Review and provide feedback on transition status reports
Ongoing	Provide access to all State Training and required systems

ITEM 4b. Needs from the incumbent vendor as part of transition activities

Since PDC is the incumbent there will be no items needed from the incumbent vendor for transition.

ITEM 4c. How you will ensure there is no gap in service

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Since PDC is the incumbent, work will continue throughout the transition period by the current staff with no gap's in services. New staff will be added per the Org Chart prior to official operations of the new contract.

ITEM 4d. Assumptions about the incumbent and State's roles and responsibilities in the Initial Transition Period

PDC's is the incumbent, our only assumption is that we will accomplish all of the tasks and meet all of the timeframes listed in the PDC responsibilities table above. State Assumptions are that the State will review all plans and Operating Procedures in a timely manner in order to meet transition timeframes. State Assumptions also include that access to all state training courses and systems needed for operations will be granted to PDC in a timely manner.

ITEM 4e. Proposed Initial Transition Plan with a detailed timeline for all Initial Transition activities, including the proposed start and end date for each activity

Initial Transition Plan
The PDC Team is the incumbent on this contract so the Transition Plan will not be as comprehensive as the Turnover Plan since there will be limited contract and procedure changes and no transition of staff.

Startup, Mobilization, and Transition
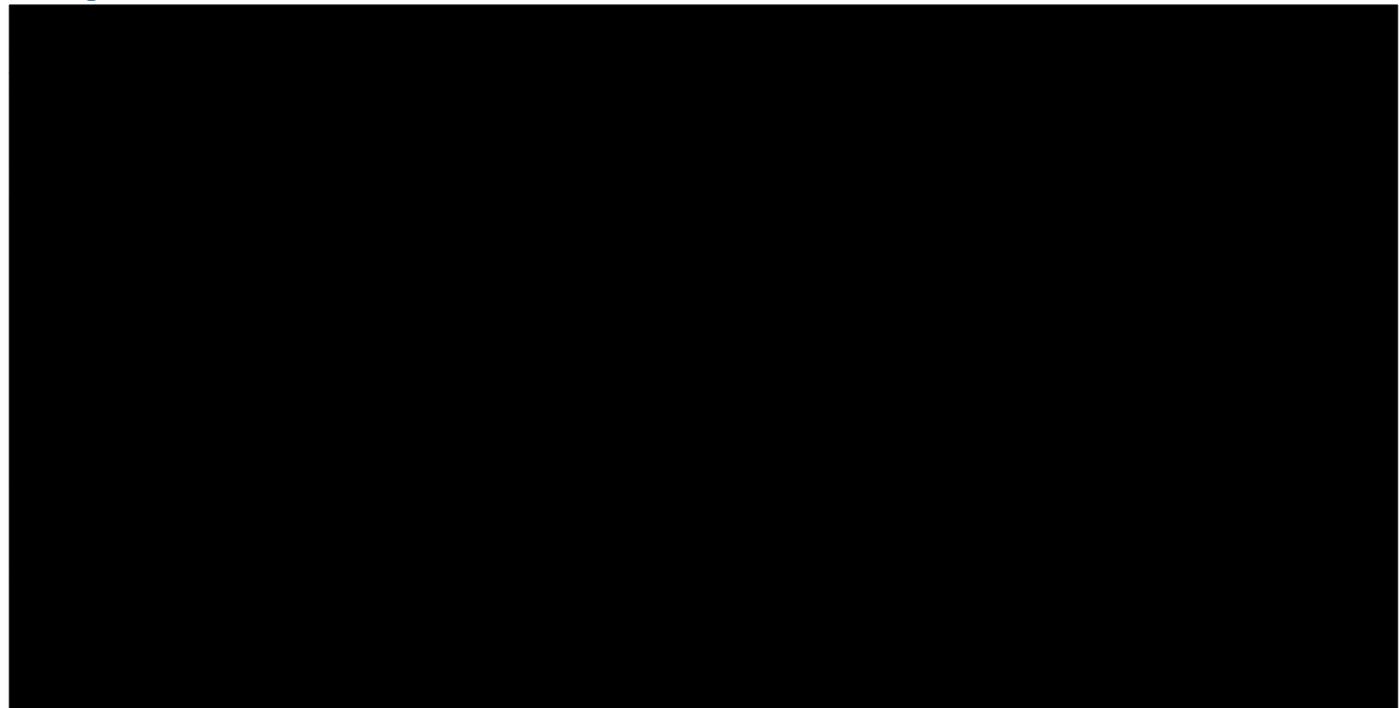
Task 2: Finalize Transition Plan – Based on the discussions during this planning meeting, the PDC management team will finalize the details of the coordinated transition plan, adjusting it to take into account individual stakeholders' needs and timeframes. The plan will finalize hiring and training requirements and timelines. The coordinated final version of the transition plan will be submitted for the

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Government's review and approval. Upon the Government's approval, the remainder of the transition plan will be executed. As the transition starts unfolding, PDC will hold regular meetings to ensure that all stakeholders' needs are being met and that the operation is ready for service. If updates to the transition plan are agreed to, updates will be circulated to stakeholders' POCs. The PDC Team will prepare and submit ongoing status reports to FSSA Leadership detailing the progress of its transition activities.

Task 3: Recruitment and Hiring of Personnel – HR activities, including staff hiring and training, play a very important role in the transition plan. Upon award, we will engage PME's recruiting team to work with the PDC HR department to immediately begin candidate selection and interviews for any unfilled positions listed on the organization chart in the Staffing section. PDC will immediately begin to advertise conditionally to fill potential staffing positions. Upon award of the contract, we will contact and qualify candidates, and we will rapidly complete all hiring actions.

Task 5: Personnel Training – The PDC Team will coordinate FSSA to tailor training materials for new and incumbent associates. As new staff is hired, we will deliver our instructional programs, along with Government-prescribed training, so that all associates are educated equally.

Task 6: Seamless Transition – PDC looks forward to a seamless transition utilizing our existing incumbent staff to continue existing operations while preparing to begin performance on the new contract.

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Transition Tasks

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Category	Task
Finalize Transition Plan	• Finalize draft Transition Plan • Submit final draft Transition Plan to Government • FSSA Review & Approval of Transition Plan • Begin regular Transition meetings, distribute Transition Plan updates • Submit ongoing status reports
Recruitment & Hiring of Personnel	• Determine unfilled staffing needs per submitted organization chart • Candidate selection/interviews and background checks and drug screens • Staff hiring completed • Conduct new hire orientation

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Category	Task
Personnel Training	• Revise training materials if required • Coordinate training with FSSA • Conduct training
Seamless Transition	• Utilize Existing Staff to continue operations • Integrate all new SOP's and staff including subcontractors into day to day operations exceeding all FSSA SLA's and expectations

ITEM 4f. Describe how you will identify and/or recruit the necessary qualified staff as part of the Transition, and the timing on recruiting, training, and onboarding activities

PDC is the incumbent, there only a few additional staff to be added to the contract. For these staff, PDC will work closely with our MBE, PME to identify and recruit qualified personnel. PME's primary role will be to support staffing and recruiting. Our team deploys creative sourcing solutions utilizing job boards, local organizations, employment offices, social media and military transition services to pull in new talent as quickly as possible. Our sourcing strategy focuses on locating and screening the most qualified candidates quickly. A detailed staffing & recruiting plan is documented below under Item 6 Staffing. As soon as PDC is notified of the award, job descriptions & requirements for all open positions will be gathered and sent to PME to begin their process of recruiting and vetting candidates. As listed in the PDC Responsibilities table above all recruiting will take place throughout the transition period while training and onboarding activities for all new staff will occur in month 2 of transition.

ITEM 4f-1. Transition Plan risk mitigations for delays in identifying or recruiting qualified personnel to fill each position and in conducting the necessary knowledge transfer

PDC is the incumbent, there only a few additional staff to be added to the contract. For these staff, PDC will work closely with our MBE, PME to identify and recruit qualified personnel. If PME is not able to identify & recruit qualified staff in a timely manner, our risk mitigation is to engage our staffing & recruiting vendor (Knowledge Services) to augment PME's team. Although unexpected, other recruiters will be engaged if PME & Knowledge Services are unable to meet the timeframes needed.

ITEM 4g. Proposed Turnover Plan with a detailed timeline for all Turnover activities, including the proposed start and end date for each activity

Proposed Turnover Plan
Turnover includes end of contract planning to ensure a seamless operational transition to the State or its designee. Prior to the conclusion of the contract, the PDC will provide assistance to the State to assure that all responsibilities are transitioned. Key issues for turnover:

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- Phase-in training
- Efficient transition activities
- Staffing continuity
- Uninterrupted service

Implementing the turnover plan must commence at least four months prior to the vendor's contract expiration date. PDC will develop a final State-approved Turnover Plan covering the possible turnover of Document Center Services to either the State or successor vendor. The plan will include:

- Proposed approach to turnover
- Tasks and subtasks for turnover
- Schedule for turnover
- Documentation update for procedures during turnover

The PDC Team undertakes any turnover of service for operations such as FSSA with three overriding goals:

1. No disruption of services
2. No deterioration of service levels
3. With no impact to State Operations, totally transparent to applicants and other business partners

Turnover Tasks

PDC is a longstanding partner with FSSA and is committed to a smooth turnover with no interruption of service. PDC will assist the successor vendor in becoming familiar with all aspects of the operations in order to commence full performance of services on their contract start date. The following turnover tasks will be performed upon the award of the contract.

Task 1: Establish Contact – Upon notice of successor contract award from the State, the PDC Team will immediately begin working with the State to facilitate the phase-in turnover. The official kick-off for turnover activities will be a joint planning meeting including the PDC Team management, the successor contractor, and the FSSA program team. This planning meeting will be attended by members of the PME Team's management team, specifically Carol Curran, PDC's President & Chief Executive Officer; the Project Manager, Document Center Manager and QA Analyst and a representative from HR among others. During this joint planning meeting, we will look to identify the points of contact (POCs) for turnover activities, the point of contact for knowledge transfer, as well as to validate the proposed incumbent capture of staff. Contact will be made between the two contracting organizations multiple times a day, depending on the need for the exchange of information. This task will start immediately, at least four months prior to the end of the contract.

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Task 2: Finalize Turnover Plan – Based on the discussions during this planning meeting, the PME management team will finalize the details of the coordinated turnover plan, adjusting it to take into account individual stakeholders' needs and timeframes. The plan will document all turnover activities and due dates. The coordinated final version of the turnover plan will be submitted for the Government's review and approval within 15 business days of PDC notice of successor contract award by FSSA. Upon the Government's approval, the turnover plan will be executed. As the turnover starts unfolding, PDC will attend regular meetings to ensure that all stakeholders' needs are being met and that the successor operation is ready for service. If updates to the turnover plan are agreed to, updates will be circulated to stakeholders' POCs. The PDC Team will prepare and submit ongoing status reports to FSSA officials as directed detailing the progress of its phase-out activities.

Task 4: Transfer of all Necessary Documentation – PDC will immediately begin gathering all documentation including standard operating procedures (SOP's) and load them into the State's file share system of choice. Our QA Analyst will validate that each document has been gathered prior to notifying the State. Once the validation is complete, the State will be notified for their review and acceptance. PDC will update requested documentation and provide additional records per official FSSA requests within 15 business days.

Task 5: Training – The PDC Team will gather all training materials for the Successor Contractor and FSSA and conduct onsite training at the Marion facility to prepare for the transfer of all operations. Training will be conducted on all equipment, software and systems according to documented SOP's. Training will include walkthroughs on all processes including mail pickup, mail processing, OPEX mail scanning, document retention and destruction, Captiva modules and return of original documents by mail. Training will be conducted during the final two months of the contract until FSSA has verified that all necessary training as been completed and the Successor Contractor is ready to take over full operations.

Task 6: Shadowing – As each Successor Contractor staff completes their training, PDC staff and leadership will shadow the Successor staff in performing according to all documented SOP's in the performance of the contract tasks. Re-training will be provided as deficiencies are identified and as directed by FSSA. This will occur during the shadowing and in separate training classes depending on the tasks/SOP's where re-training is needed. Shadowing will occur throughout the last two months of the contract performance period.

Task 7: Final Turnover – PDC will complete all required government tasks and reports and officially transition all Government-furnished equipment and State property to the Successor Contractor per FSSA direction and approval. PDC will support FSSA in the turnover and completing all contract and turnover tasks until the final turnover day as designated by FSSA. PDC appreciates the long term partnership and critical work that is done on this contract and will work to exceed FSSA expectations by providing a seamless turnover.

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Turnover Tasks

Category	Task
Establish Contact	• Joint planning meeting with FSSA and Successor • Define all stakeholders' Point of Contacts (POCs) • Validate turnover methodology
Finalize Turnover Plan	• Finalize draft Turnover Plan • Submit final draft Turnover Plan to FSSA • FSSA review and approval of Turnover Plan • Begin regular Turnover meetings, distribute Turnover Plan updates • Submit ongoing status reports
Transfer of all necessary documentation	• Load all documentation including all Standard Operations Procedures (SOP's) to State designated system, confirm successor access • Provide hardcopies of all logs to State & Successor • Provide any additional documentation to FSSA upon request with 15 business days
Training	• Provide all training materials to FSSA & Successor • Coordinate training with Successor • Conduct training on all SOP's and equipment • Conduct Walkthroughs on all processes including mail pickup, mail processing, OPEX mail scanning, document retention and destruction, Captiva modules, return of original documents by mail • Training complete
Shadowing	• PDC shadows Successor on all processes and procedures covered during training period • PDC provides retraining as necessary based on the shadowing results
Final Turnover	• Complete all remaining work and State reporting • Turnover over all State property to FSSA • Final Approval from FSSA on reports and Turnover completion

ITEM 5 – Compliance with Standards & Regulatory Requirements

PDC understands how importance compliance with standard and regulatory requirements are especially in protecting all of the information submitted by applicants. PME will support PDC in meeting and exceeding all compliance requirement documented in Attachment C (Scope of Work) Section 5.

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ITEM 5a. Describe your company's plan to adhere to the standards and regulatory requirements outlined in Section B.5 of Attachment C
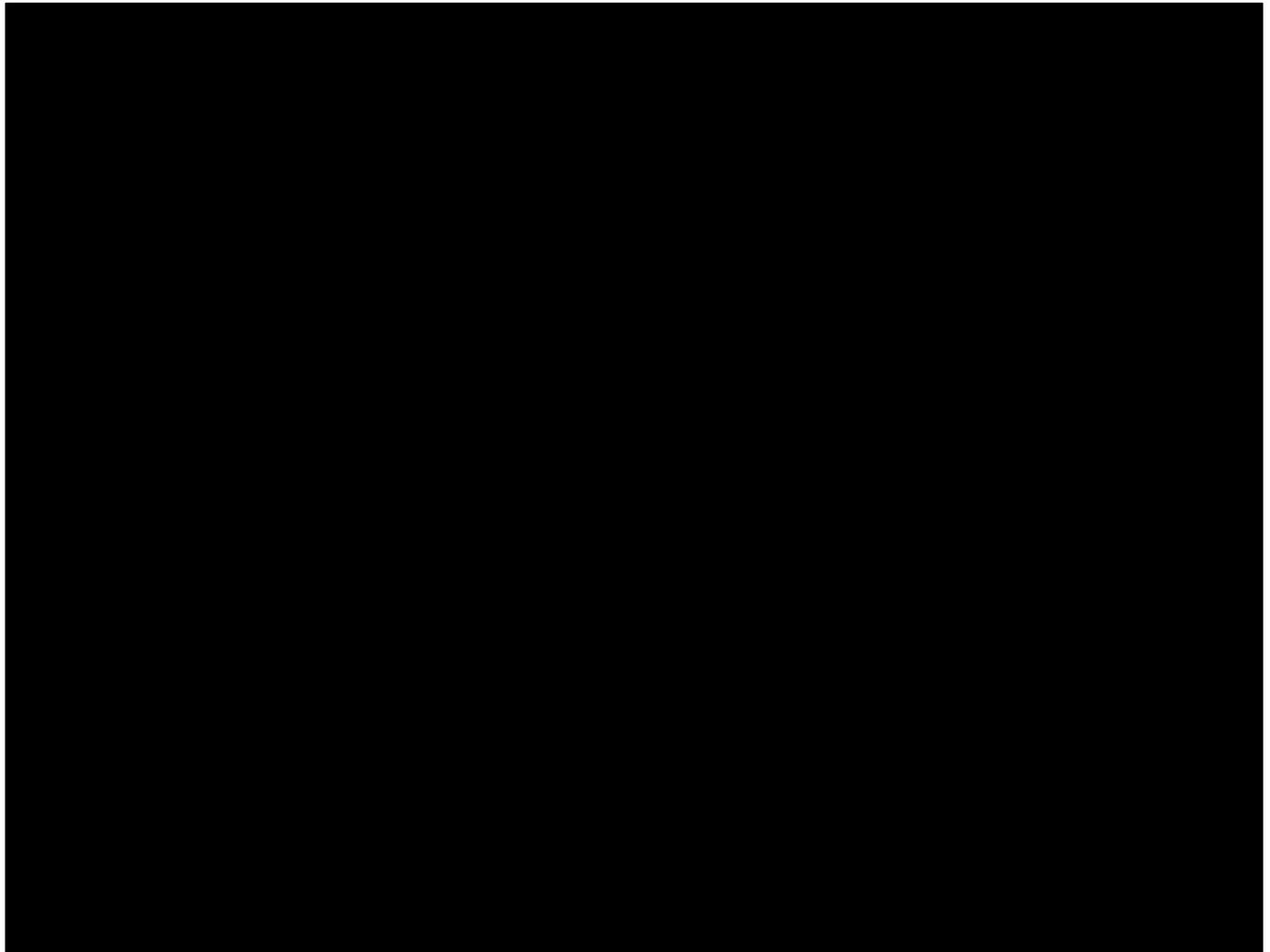
Indiana State Personnel Department Training

- Handling Sensitive Information
- Internet Security When You Work from Home
- Social Engineering Red Flags
- Information Use Agreement Resource (IRUA) 2022
- Internet Security and You
- Social Media: Staying Secure in a Connected World
- Email Spoofing
- Creating Strong Passwords
- Ransomware and Phishing
- Pretexting Credential Harvesting
- Mobile Device Security
- Understanding Link Rewrites
- Beware of Disinformation

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- Preventing Workplace & Sexual Harassment 2021 for Contractors
- Handling and Sharing Sensitive Information
- Social Engineering
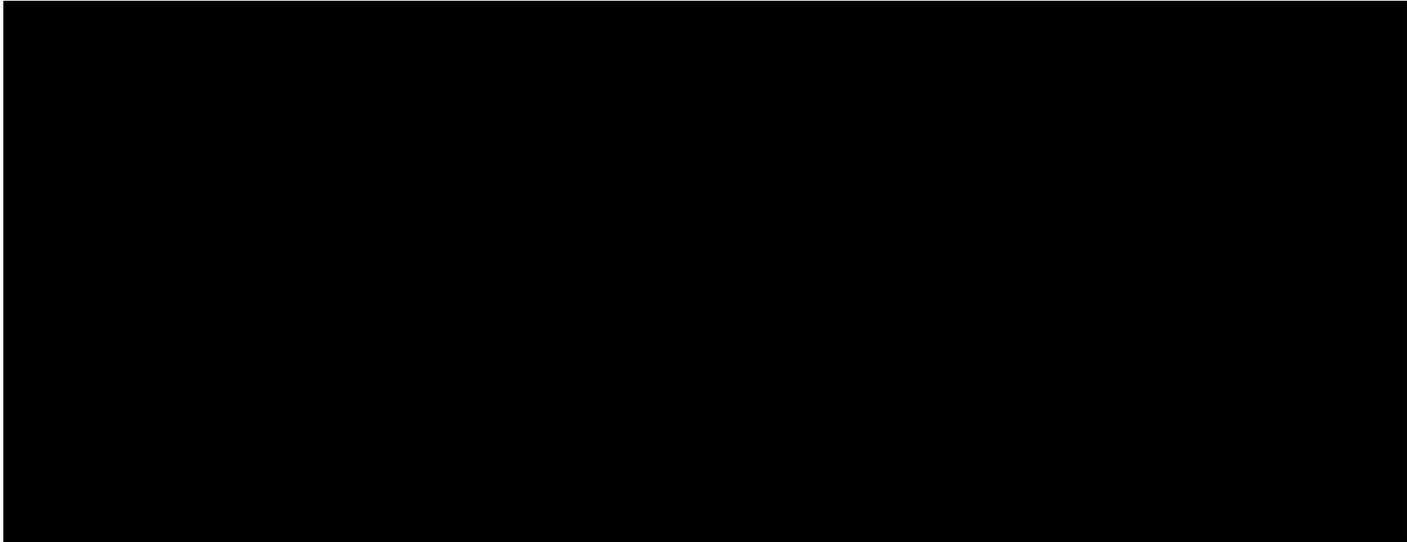
ITEM 5b. Explain how above compliance can be verified during the Contract
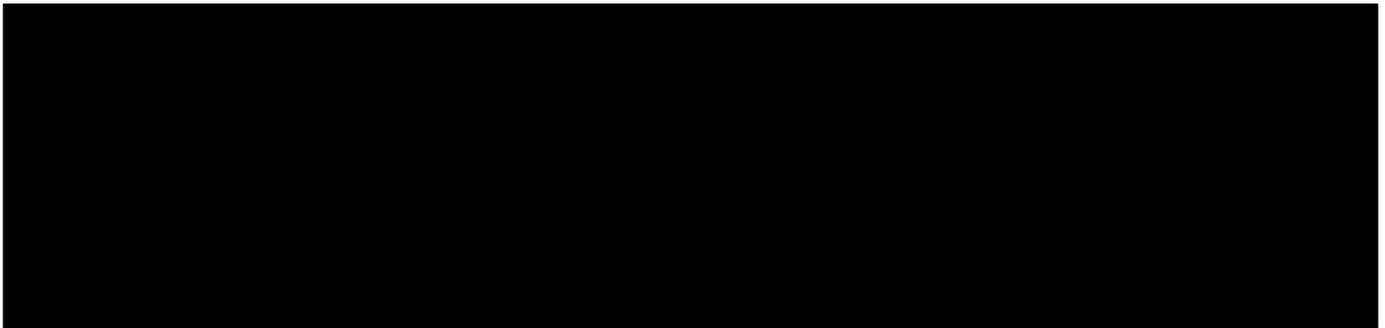
ITEM 6 – Staffing

This section includes the PDC staffing plan, organization chart, resumes of Vital Positions and detailed information about our MBE and WBE subcontractors (PME & netlogx) and their roles on this contract.

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ITEM 6a. Confirm your acceptance of the requirements in Section E of Attachment C

PDC will develop a Staffing Plan and present to FSSA leadership for approval prior to fully implementing it. The Staffing Plan will include number, type and categories of staff proposed and required staff qualifications (job descriptions). All PDC staff, except for the Project Manager will work onsite at the FSSA Marion, Indiana facility unless new State protocols/directives call for remote work. Our Project Manager will split her time between Marion and the PDC Indianapolis office. The Staffing Plan will be updated annually, or whenever there is a staffing change and present to FSSA leadership for approval. PDC accepts all requirements of Section E Staffing of Attachment C (Document Center Services Scope of Work). At no time will any PDC or subcontract staff work from outside of the United States. PDC is not allowed to hire any foreign national staff or have any staff work outside the United States due to the stipulations of our Federal Secret Facility Clearance. PDC will replace any internal or subcontractor staff found unacceptable by FSSA as soon as possible and no longer than two weeks from the receipt of the FSSA request for removal. PDC will identify, report and resolve all performance issues for all staff including subcontractors to FSSA & OV&V. The Org Chart and Vital Position Resumes are included in the subsections below. We have also included a resume for the PDC Production Coordinator that we consider to be essential to this contract and will back up Dawn Jones, our Document Center Manager. Dawn Jones will begin taking PMP classes so that she will be fully qualified to back up Jennifer Hamilton our PM. All Vital Position staff will be available for FSSA meetings Monday through Friday 8:00am to 5:00pm. PDC will not make any changes to Vital or backup Vital positions without at least four weeks notice to FSSA unless it is due to termination, death or resignation. All replacement candidates will have equal or greater qualifications and will not begin work until officially approved by FSSA leadership. Please see 6g below in regard to managing subcontractor staff.

ITEM 6b. Describe your overall staffing plan for the roles and responsibilities outlined in Attachment C

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ITEM 6c. Include an organizational chart for the proposed project team, including the role of any subcontractors

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ITEM 6d. Explain how you will maximize retention of staff, including any subcontractor staff

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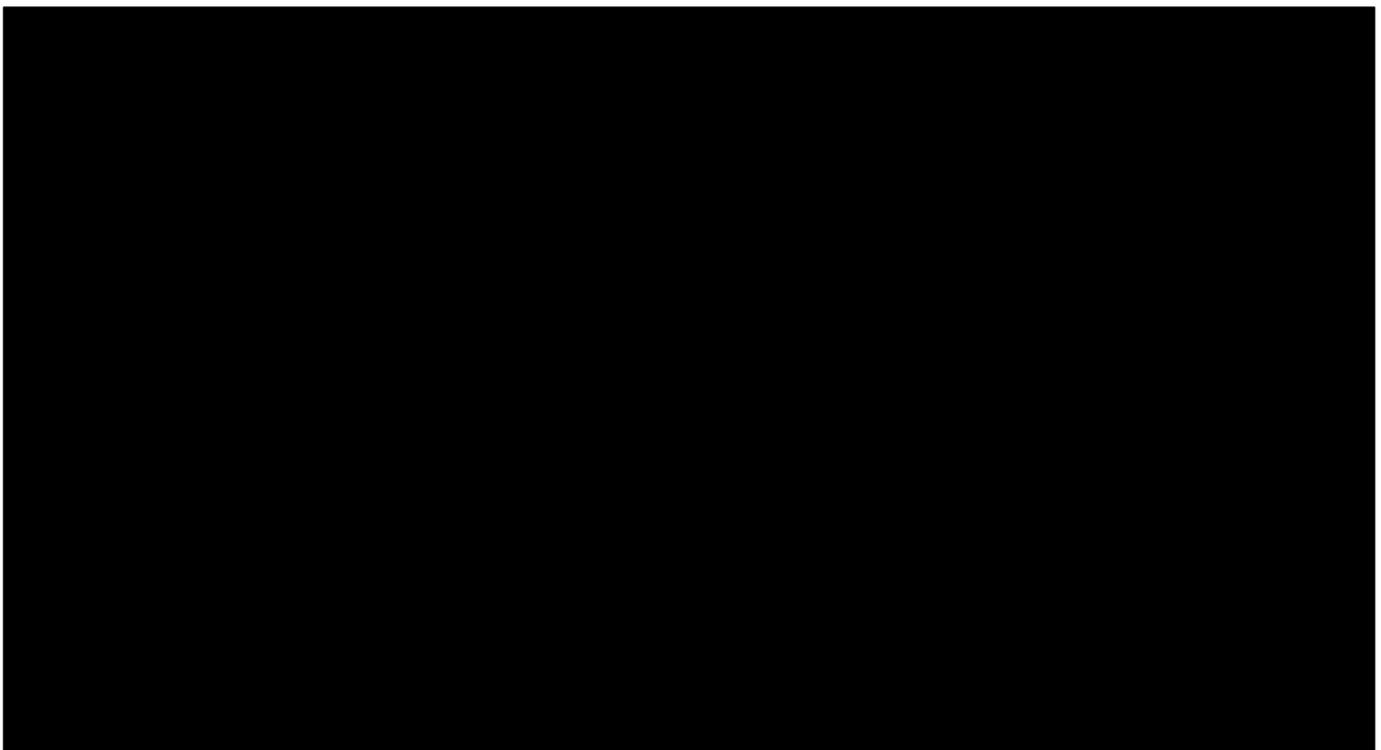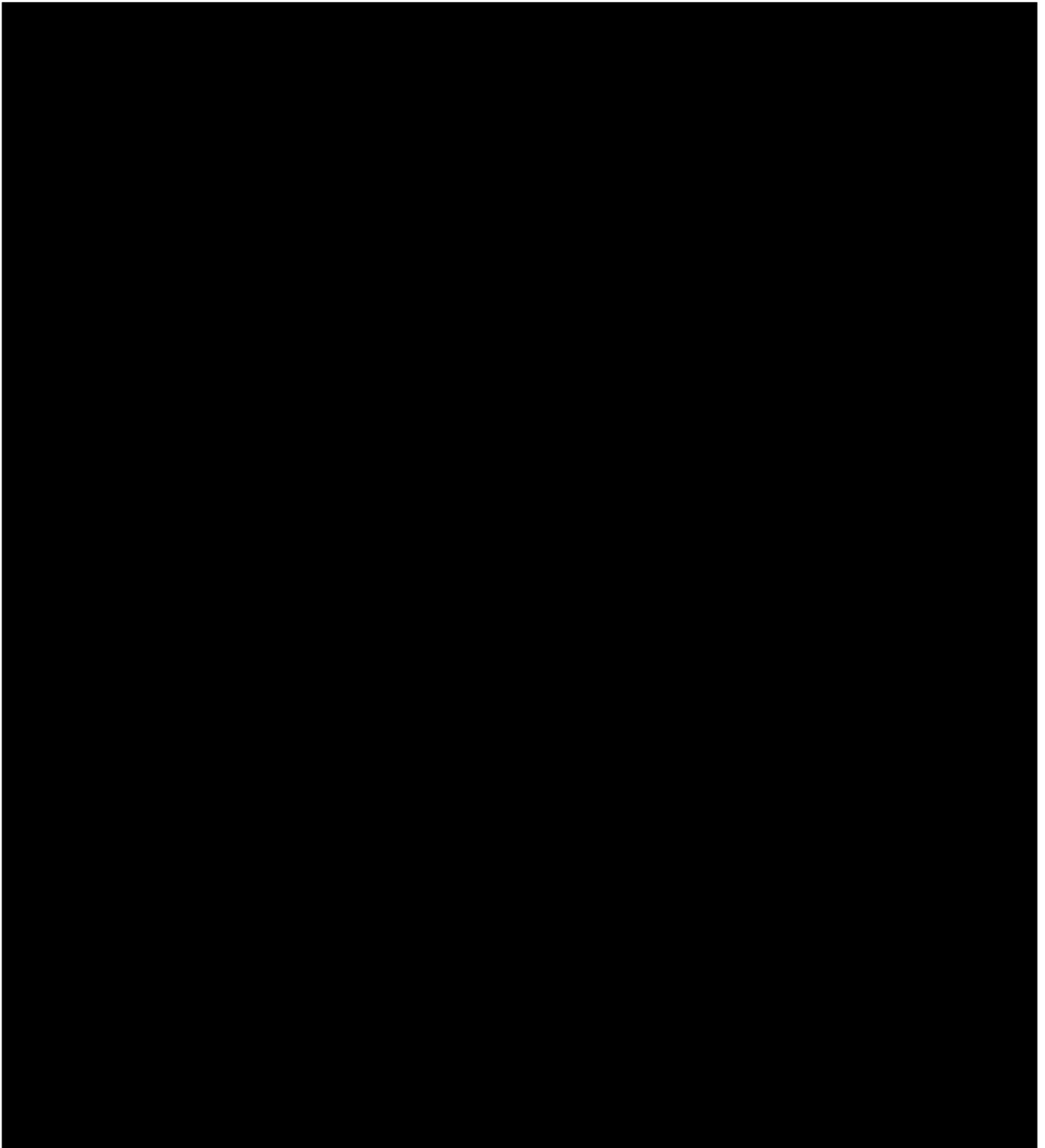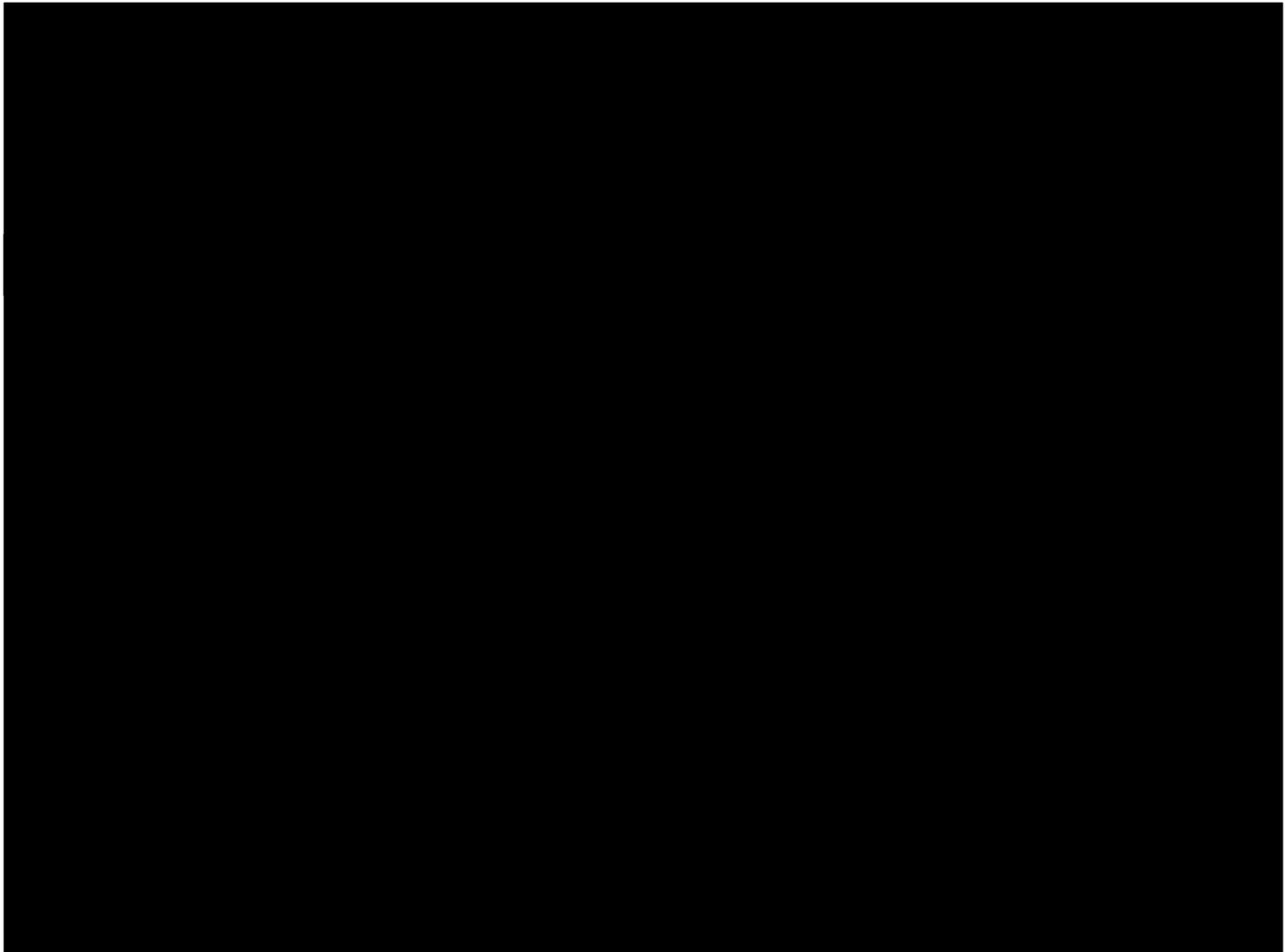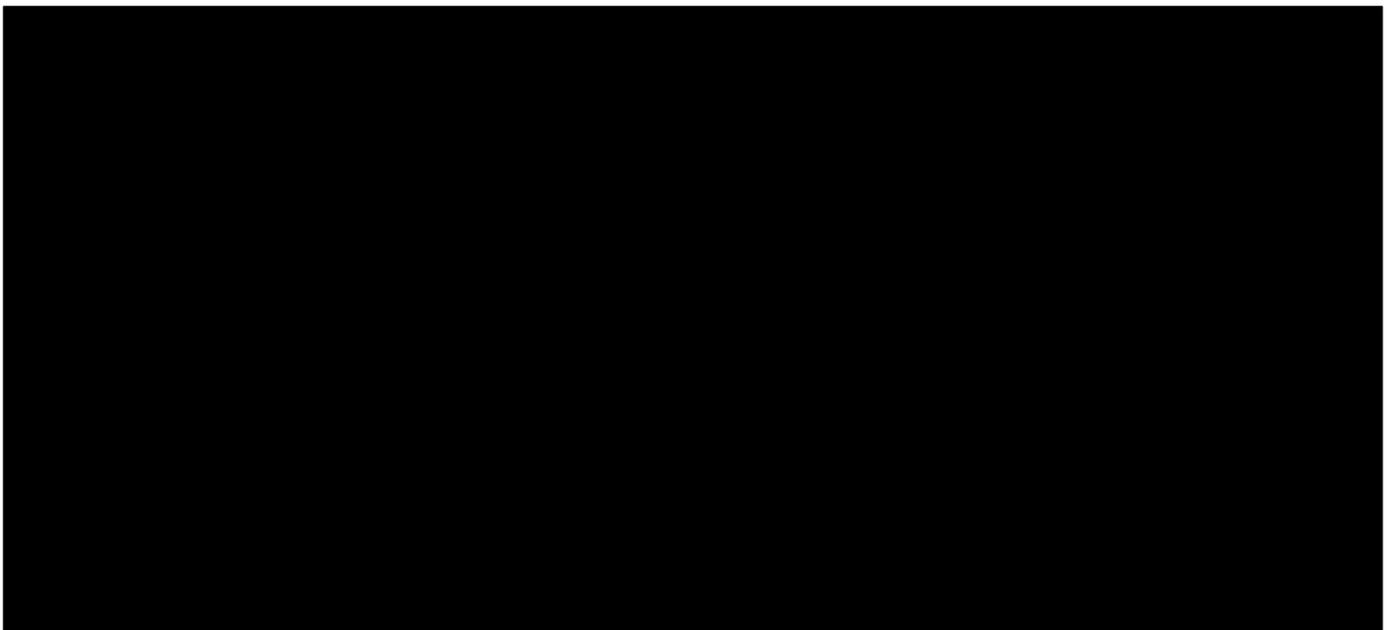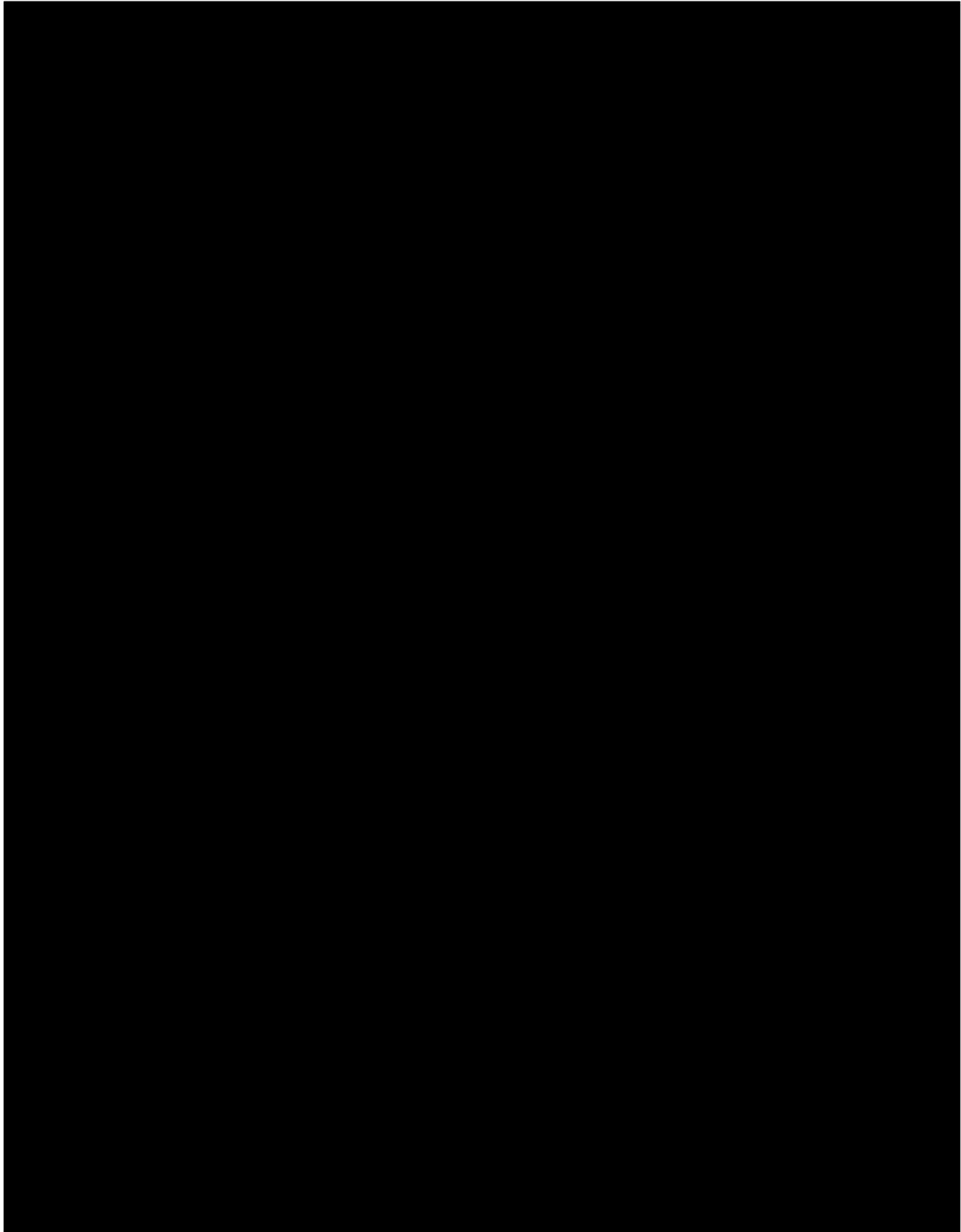
We include all subcontractor staff in our Teambuilding, Recognition and Giving Back to the Community initiatives. This builds a cohesive team. Additionally, we only partner with subcontractors that provide

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similar pay and benefits and are employee focused. We utilize all the data gathered through staff communications, exit interviews, and market research, to ensure we are providing competitive compensation packages inclusive of pay, PTO, holiday pay, medical welfare benefits, employee assistance program, etc. The world has changed drastically in the last few years but PDC continually exceeds retention percentages when compared with the industry average. Using this retention plan, we feel confident in our ability to be successful in maintaining PDC and subcontractor staff.

ITEM 6e. Provide resumes for all individuals in Vital Positions

Resumes for each vital position are included below, starting on the next page. PDC has included the resume for our Production Coordinator because we believe it is a vital position in regard to the current operations at the FSSA Document Center.

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ITEM 6f. For each Vital Position, explain how the individual proposed by the Respondent meets the listed qualifications in Section E of Attachment C

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ITEM 6g. Subcontractors

Professional Management Enterprises, Inc. (PME) (MBE - Subcontractor)

As a multifaceted professional services and personnel staffing company, Professional Management Enterprises (PME) draws from many years of experience across industries and sectors to help clients reach their goals. PME is a Minority and Service Disabled Veteran Owned Business and an Indiana certified Minority-Owned Business Enterprise (MBE). PME is a highly valued teaming partner nationwide to large corporations such as Humana, KPMG, Ernst and Young, Anthem, and HP to name a few. Additionally, they provide services in the areas of healthcare, IT, and professional services to Department of Defense and other Federal Government clients. PME is highly engaged in state work in their home state of Indiana, as well as multiple other states nationwide. PME is fully engaged and ready to support work in human capital management, business operations, organizational development, information technology, and healthcare staffing spaces. PME are experts at supplying personnel with the aptitudes, skills, experience, and temperament needed to always exceed your work demands. PME offers a full menu of customizable, professional services designed to help cut costs, reduce waste and inefficiencies, increase employee productivity, and maximize desired outcomes. Their services include continuous process improvement, project management, behavioral science insights and applications, innovation and implementation support, and management consultation.

netlogx (WBE - Subcontractor)

Founded in 1998, netlogx, LLC (netlogx) is an Indiana certified Woman-Owned Business Enterprise (WBE) consulting firm focused on solving complex issues to bridge the gap between business and technology. For over 20 years, netlogx has successfully supported large enterprise-level projects by providing a variety of high-value added professional consulting services, such as Program/Project Management, Business Process Reengineering, and Organizational Change Management. Their consultants leverage Lean Six Sigma risk management principles to manage change for their public, private, and non-profit sector clients nationwide. netlogx

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provides a depth of experience, utilizing best practices for clients by identifying and addressing operational and cost efficiency improvements from the perspectives of people, policy, process, and technology.

ITEM 6g-1. Describe the role of any subcontractors you will utilize for this Contract
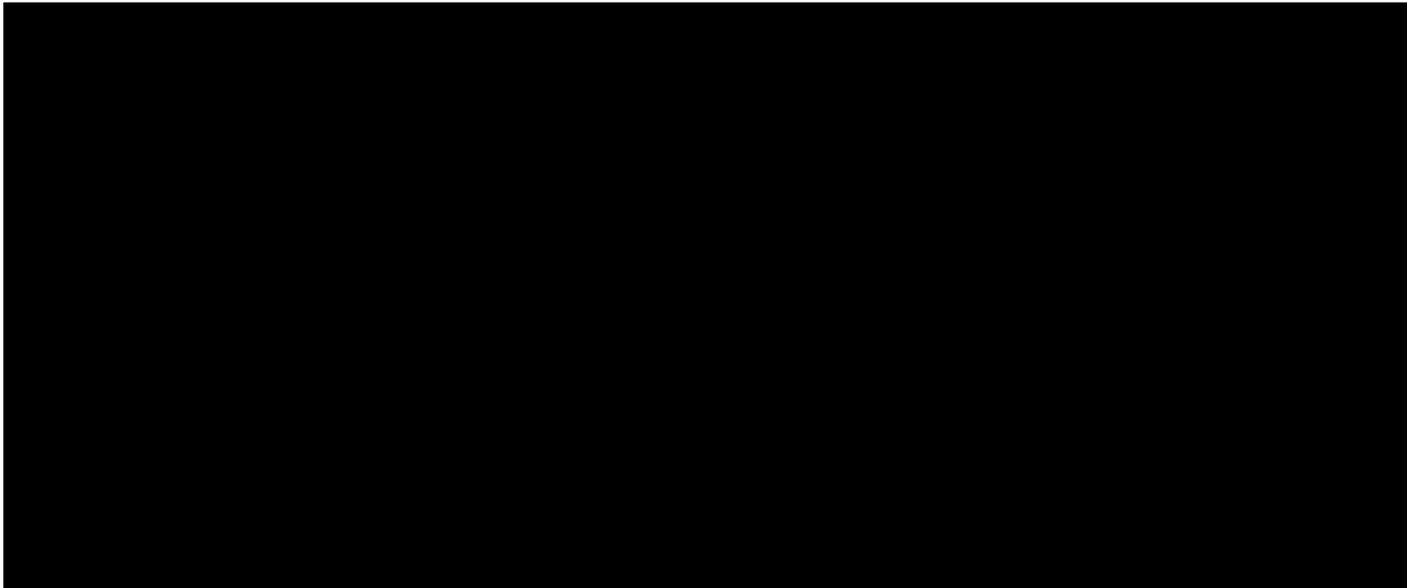
ITEM 6g-2. Indicate your prior experience with each subcontractor
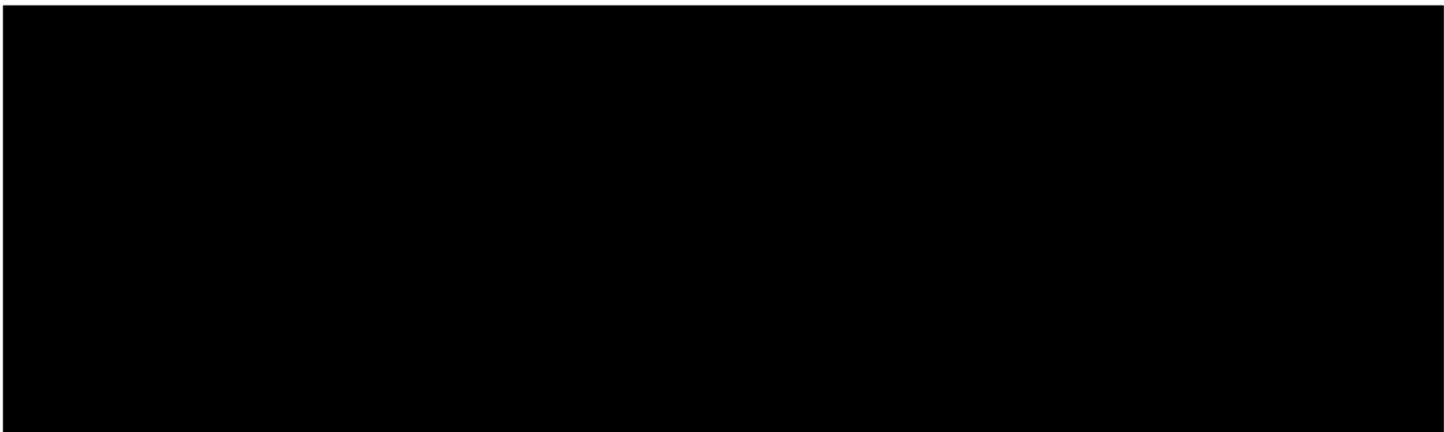
ITEM 6g-3. Describe their experience and expertise as it relates to supporting the Contract scope

netlogx has over 20 years of experience in public and private sectors as a certified woman-owned, small business management consulting firm headquartered in Indianapolis, Indiana. netlogx' experienced team of industry-specific experts help their clients nationwide navigate change by solving complex business challenges. netlogx has successfully supported state (Indiana, Michigan, New Mexico, and Arizona) and local governments, private, and non-profit organizations to operate more efficiently and effectively utilizing its project management, business process mapping/reengineering, and organizational change management expertise. netlogx leverages Lean Six Sigma risk management principles and recognized

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project management (PMBOK) disciplines. netlogx has extensive experience in highly regulated environments in health and human services, healthcare, and financial services industry verticals.

Since netlogx' inception in 1998, they continue today to serve as a trusted consulting vendor with the State of Indiana's Family and Social Services Administration (FSSA). They have supported several large-scale data conversion activities from a range of legacy systems that include childcare, child support, Supplemental Nutrition Assistance Program (SNAP), and Temporary Assistance for Needy Families (TANF), and Medicaid eligibility from ICES to IEDSS.

netlogx Representative State Government Projects

Client/Project	Project Management Services	Business Process Improvement	Change Management	APD Consulting Services	Govt. Health Insurance Experience	Program Waiver Mgmt.	CMS Requirements Management
Indiana Family and Social Services Administration - Care Management for Social Services (CamSS), Electronic Visit Verification (EVV) and Asset Verification System (AVS) initiatives - **Project Mgmt. Services -** 7/2019 - current	✓	✓	✓	✓	✓	✓	
New Mexico Human Services Department - Medicaid Management Information Services Replacement Project – **Project Mgmt. Office** - 03/2019 - current	✓	✓	✓	✓			✓
Michigan Department of Health and Human Services - Bureau of Medicaid Policy Program Management Office – **Project Mgmt. Services -** 2013-2019	✓	✓		✓		✓	✓
Indiana Family and Social Services Administration - Medicaid Management Information Services Replacement Project- **Enterprise PMO-**02/2013 – 06/2018	✓	✓	✓	✓		✓	✓

As a staffing company, PME serves their clients not just with manpower solutions, but with project management on many projects throughout the years. PME also has document management experience, serving as the prime for the TTB contract with PDC as documented in Section 2c. above. A summary table of relevant past performance is found below.

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Client	Description	Number of Resources
State of Indiana	PME provides Community Health Worker outreach services, which primarily support case management for difficult to reach and high-risk populations, on behalf of Indiana Medicaid's Hoosier Healthwise, Hoosier Care Connect and HIP 2.0 members. This outreach supports almost 70% of Indiana's Medicaid Managed Care population. PME has had a 15-member team plus project management supporting this program since December of 2016	15
United States Patent and Trademark Office	Project Management, Strategy, and Planning Support Services; Strategic Planning Services; Communication Management Services; Support Services for Programs; Process Re-engineering Services; Contract Oversight and Management; Organizational Optimization Services; Staffing and Recruitment	10
███████████████	███████████████	███
US Army Assistant Secretary of the Army for Financial Management and Comptroller (ASA (FM&C)	Data Analysis and Visualization Services; Program Analysis Services; Project Management, Strategy, and Planning Support Services; Strategic Planning Services; Communication Management Services; Support Services for Programs; Process Re-engineering Services; Staffing and Recruitment; Training and Development	17

ITEM 7 – Service Levels and KPIs

ITEM 7a. Confirm your acceptance of the requirements in Attachment C Section F as written

PDC accepts KPI 1a requirement that 90% of all documents are scanned, indexed and entered into the database on the same business day of receipt by the Document Center if documents are received prior to 7:15pm EST as written in Attachment C Section F. We also accept that failure to meet this requirement that the FSSA will remedy any failure at no additional cost to the State and that the State will provide PDC a written notice of non-compliance and may require a Corrective Action Plan (CAP) with the severity determined at the State's discretion and the schedule showing when PDC's deficiency will be remedied and, if necessary, a plan for a permanent solution to be implemented. We also understand that the State may at its discretion withhold 10% of payment of that month's invoice when the deficiency occurred and all subsequent billing until the CAP is implemented. When the CAP is completed, and the State is satisfied that the proposed remedy has been implemented, the State's satisfaction will be confirmed in writing by the DFR Director or their designee and all monies withheld shall be released to PDC withing 30 days. Should PDC not submit the CAP as required, or if the remedy is not implemented within the timeframe stated in the CAP, the monies shall be forfeited.

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PDC accepts KPI 1b requirement that 90% of all documents are scanned, indexed and entered into the database by Noon EST of the following business day if received after 7:15pm EST as written in Attachment C section F. We also accept that failure to meet this requirement that the FSSA will remedy any failure at no additional cost to the State and that the State will provide PDC a written notice of non-compliance and may require a Corrective Action Plan (CAP) with the severity determined at the State's discretion and the schedule showing when PDC's deficiency will be remedied and, if necessary, a plan for a permanent solution to be implemented. We also understand that the State may at its discretion withhold 10% of payment of that month's invoice when the deficiency occurred and all subsequent billing until the CAP is implemented. When the CAP is completed, and the State is satisfied that the proposed remedy has been implemented, the State's satisfaction will be confirmed in writing by the DFR Director or their designee and all monies withheld shall be released to PDC withing 30 days. Should PDC not submit the CAP as required, or if the remedy is not implemented within the timeframe stated in the CAP, the monies shall be forfeited.

PDC accepts KPI 1c requirement that 100% of documents scanned within two business days of receipt by the Document Center as written in Attachment C Section F. Any documentation that has been requested to be re-scanned will be measured against this criterion based on the "date of rescan" request. We also accept that failure to meet this requirement that the FSSA will remedy any failure at no additional cost to the State and that the State will provide PDC a written notice of non-compliance and may require a Corrective Action Plan (CAP) with the severity determined at the State's discretion and the schedule showing when PDC's deficiency will be remedied and, if necessary, a plan for a permanent solution to be implemented. We also understand that the State may at its discretion withhold 10% of payment of that month's invoice when the deficiency occurred and all subsequent billing until the CAP is implemented. When the CAP is completed, and the State is satisfied that the proposed remedy has been implemented, the State's satisfaction will be confirmed in writing by the DFR Director or their designee and all monies withheld shall be released to PDC withing 30 days. Should PDC not submit the CAP as required, or if the remedy is not implemented within the timeframe stated in the CAP, the monies shall be forfeited.

PDC accepts the KPI 2 requirement for Document Classification Quality that at least 98% of all manually classified documents shall be classified correctly as written in Attachment C Section F. We also accept that failure to meet this requirement that the FSSA will remedy any failure at no additional cost to the State and that the State will provide PDC a written notice of non-compliance and may require a Corrective Action Plan (CAP) with the severity determined at the State's discretion and the schedule showing when PDC's deficiency will be remedied and, if necessary, a plan for a permanent solution to be implemented. We also understand that the State may at its discretion withhold 10% of payment of that month's invoice when the deficiency occurred and all subsequent billing until the CAP is implemented. When the CAP is completed, and the State is satisfied that the proposed remedy has been implemented, the State's satisfaction will be confirmed in writing by the DFR Director or their designee and all monies withheld shall be released to PDC withing 30 days. Should PDC not submit the CAP as required, or if the remedy is not implemented within the timeframe stated in the CAP, the monies shall be forfeited.

PDC accepts the KPI 3 requirement that 99.9% of the captured data that has gone through quality assurance (KFI QA) will meet or exceed this error percentage objective around accuracy of data entries, legibility, and accuracy of page counts as written in Attachment C Section F. We also accept that failure to meet this requirement that the FSSA will remedy any failure at no additional cost to the State and that

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the State will provide PDC a written notice of non-compliance and may require a Corrective Action Plan (CAP) with the severity determined at the State's discretion and the schedule showing when PDC's deficiency will be remedied and, if necessary, a plan for a permanent solution to be implemented. We also understand that the State may at its discretion withhold 10% of payment of that month's invoice when the deficiency occurred and all subsequent billing until the CAP is implemented. When the CAP is completed, and the State is satisfied that the proposed remedy has been implemented, the State's satisfaction will be confirmed in writing by the DFR Director or their designee and all monies withheld shall be released to PDC withing 30 days. Should PDC not submit the CAP as required, or if the remedy is not implemented within the timeframe stated in the CAP, the monies shall be forfeited.

PDC accepts the KPI 4 requirement for Returned Mail Handling that 95% of documents are returned within 72 business hours after processing as written in attachment C Section F. We also accept that failure to meet this requirement that the FSSA will remedy any failure at no additional cost to the State and that the State will provide PDC a written notice of non-compliance and may require a Corrective Action Plan (CAP) with the severity determined at the State's discretion and the schedule showing when PDC's deficiency will be remedied and, if necessary, a plan for a permanent solution to be implemented. We also understand that the State may at its discretion withhold 10% of payment of that month's invoice when the deficiency occurred and all subsequent billing until the CAP is implemented. When the CAP is completed, and the State is satisfied that the proposed remedy has been implemented, the State's satisfaction will be confirmed in writing by the DFR Director or their designee and all monies withheld shall be released to PDC withing 30 days. Should PDC not submit the CAP as required, or if the remedy is not implemented within the timeframe stated in the CAP, the monies shall be forfeited.

ITEM 7b. Describe your process for identifying, prioritizing, and communicating problems that are contributing to a failure to meet performance standards

KPI 1a—Document Scanning and Processing—90% of documents are scanned, indexed and entered into the database on the same business day of receipt by the Document Center if documents are received prior to 7:15 pm EST.

KPI 1b—90% of documents are scanned, indexed and entered into the database by Noon EST of the following business day if received after 7:15pm EST.

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KPI 1c—100% of documents scanned within two business days of receipt by the Document Center. Any documentation that has been requested to be re-scanned will be measured again this criterion based on the "date of rescan" request.

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KPI 2—Document Classification Quality—At least 98% of all manually classified documents shall be classified correctly.

KPI 3—99.9% of the captured data that has gone through quality assurance (KFI QA) will meet or exceed this error percentage objective around accuracy of data entries, legibility, and accuracy of page counts.

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KPI 4—Returned Mail Handling—95% of documents are returned within 72 business hours after processing.

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ITEM 7c. For each enumerated KPI, explain how the data for the service level will be collected and reported and how you propose to meet or exceed the thresholds for compliance

PDC has documented the specific processes and procedures utilized to meet each enumerated KPI in the below section. Each KPI is listed separately and the explanations of how the data is collected and reported is detailed below teach enumerated KPI.

KPI 1a—Document Scanning and Processing—90% of documents are scanned, indexed and entered into the database on the same business day of receipt by the Document Center if documents are received prior to 7:15 pm EST.

KPI 1b—90% of documents are scanned, indexed and entered into the database by Noon EST of the following business day if received after 7:15pm EST.

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KPI 1c—100% of documents scanned within two business days of receipt by the Document Center. Any documentation that has been requested to be re-scanned will be measured again this criterion based on the "date of rescan" request.

KPI 2—Document Classification Quality—At least 98% of all manually classified documents shall be classified correctly.

KPI 3—99.9% of the captured data that has gone through quality assurance (KFI QA) will meet or exceed this error percentage objective around accuracy of data entries, legibility, and accuracy of page counts.

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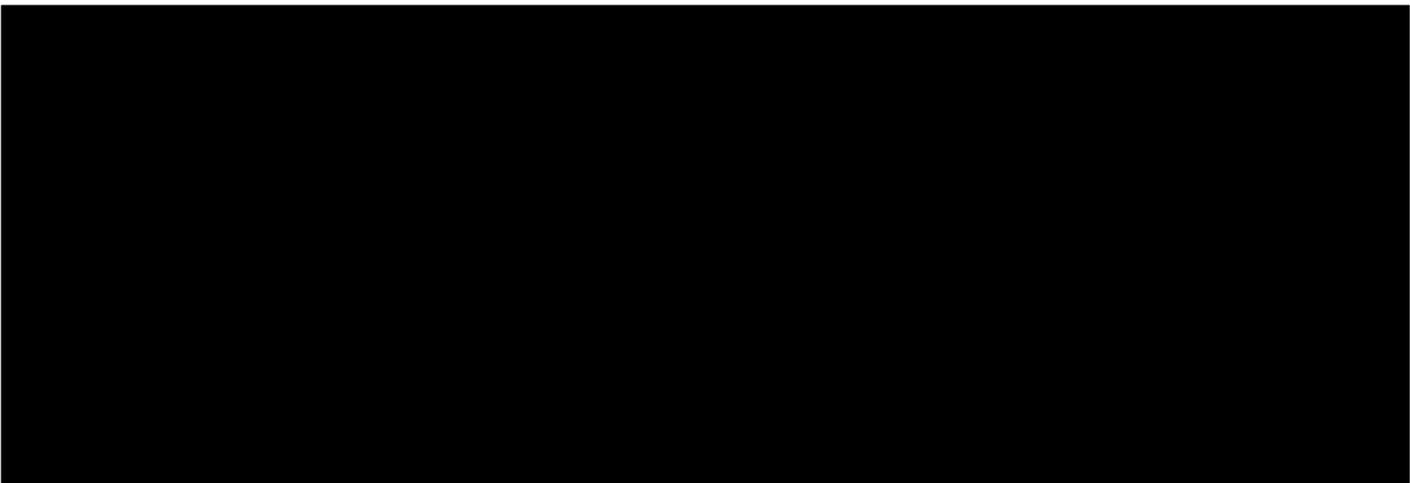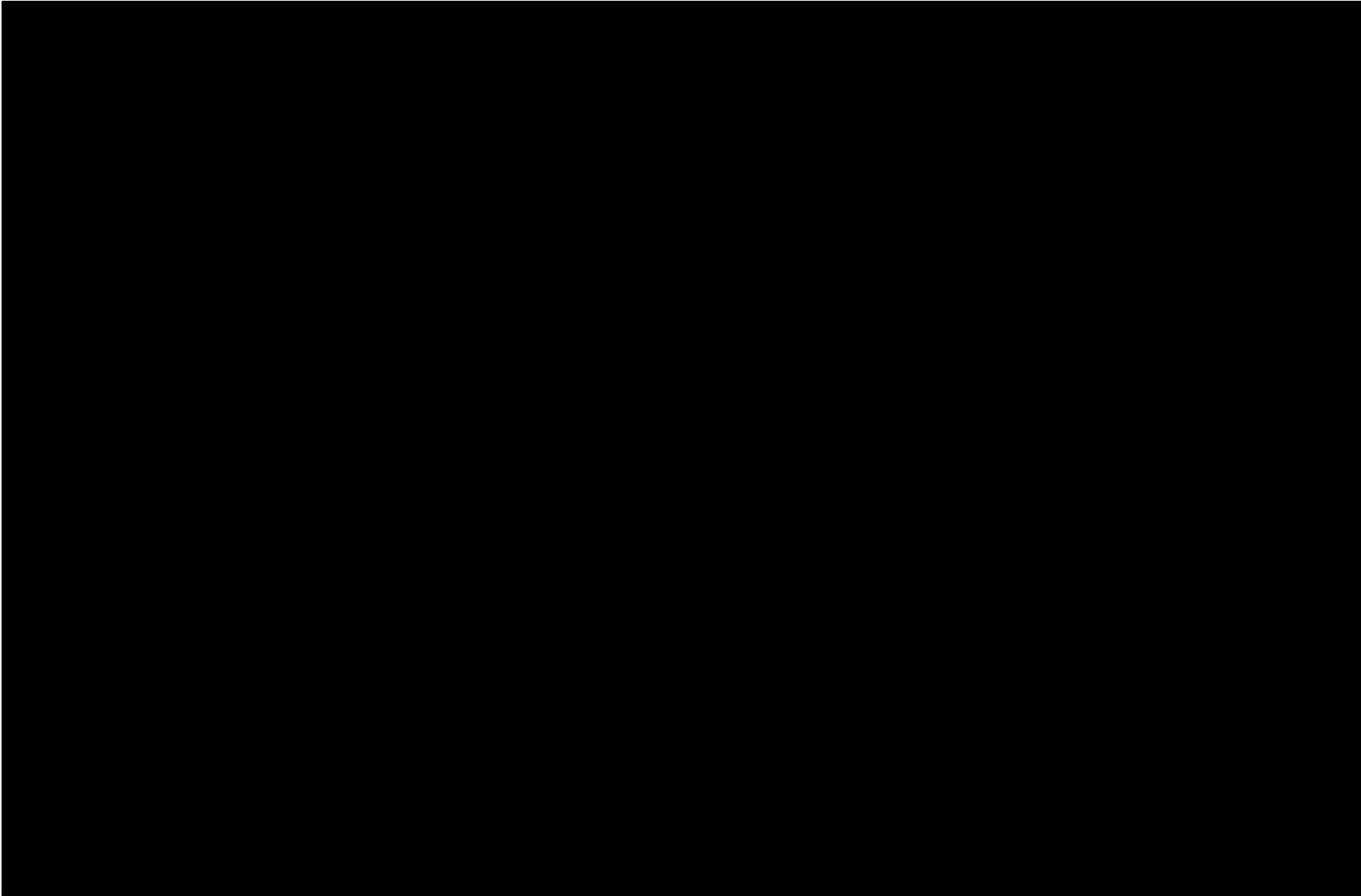
KPI 4—Returned Mail Handling—95% of documents are returned within 72 business hours after processing.

ITEM 8 – Other

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ITEM 8a. Please confirm your understanding of, and agreement with, the provisions in Section G (Corrective Actions and Payment Withholds) of Attachment C

Phoenix Data Corporation understand and agrees to the Corrective Actions and Payment Withholds sections. If there were any Actions that the State deemed necessary, Phoenix Data Corporation would take those quickly to remedy any items. (Within 30 days) Phoenix Data Corporation has had 0 corrective actions against them for any of their projects, including State of Indiana projects.

ITEM 8b. Please confirm your understanding of, and agreement with, the provisions in Section H (Reporting) of Attachment C

Phoenix Data Corporation understands and agrees to any weekly reporting requirements to meet and exceed the KPI levels for the project. Also, these reports will be reviewed and sent into the State as well as the monthly claim form for the invoicing process. All of this will be completed within the time frame that has been stated and expected from the State.

ITEM 8c. Please confirm your understanding of, and agreement with, the provisions in Section I (Billing and Invoicing) of Attachment C

Phoenix Data Corporation understands and agrees to the Billing and Invoicing for this work. The monthly invoice (claim form) will be submitted before the monthly due date and it will include # of pages (documents) processed, the applicable base fee of the project and then any pages (documents) over the base fee with the amount for the over base volume.

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II. Attachment F TECHNICAL PROPOSAL APPENDIX

Attachment F Section	RFP/SOW Section	Response Section	Page(s)
1. Minimum Requirements	RFP Section 1.4.2	ITEM 1 – Minimum Requirements	1, 2
2. Background and Experience	SOW Section B	ITEM 2 – Background and Experience	3 - 10
a. Document Center Services Company Experience	SOW Section B 2. About the Document Center	ITEM 2a. Document Center Services Experience	4
b. Document Center Equipment & Software Experience	SOW Section B 3. Document Center Equipment and Software	ITEM 2b. Document Center Equipment and Software Experience	5, 6
c. List of Organizations performing similar services	RFP 2.3.13 RFP 2.3.14	ITEM 2c. List of Organizations which you have delivered similar services, size, scope, and technical components	6
1) How experience is relevant to RFP Services	SOW Section B RFP Section 1.4.1 RFP Section 1.4.2	ITEM 2c-1. Describe how that experience is relevant to the services in this RFP	7, 8
2) Problems, Failures, Resolutions & Lessons Learned	SOW Section B RFP Section 1.4.1 RFP Section 1.4.2	ITEM 2c-2. Describe any problems and failures that you encountered in delivering your services, how these were resolved, and what were the lessons learned	8 - 10
d. Corrective Actions	SOW Section G	ITEM 2d. Corrective Actions	10
1) Publicly Reported in last 10 years	SOW Section G	ITEM 2d-1. Disclosures of publicly reported formal corrective actions, security breaches, and lawsuits under previous contracts in the last 10 years	10
2) Non-Publicly Reported in last 10 years	SOW Section G	ITEM 2d-1. Disclose any non-publicly reported formal corrective actions, security breaches, and lawsuits under previous contracts in the last 10 years	10
3. Approach	SOW Section C	ITEM 3 – Approach	10 - 24
a. Detailed Narrative of approach to each of listed services	SOW Section C 1.- 11. Attachment B Section 12	ITEM 3a. Detailed narrative of twelve services described in Section C of Attachment C, Section F of Attachment D and sampling approach for Quality Assurance	10 - 22
1) Inbound Mail Handling	SOW Section C	ITEM 3a-1. Inbound Mail Handling	10, 11

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Attachment F Section	RFP/SOW Section	Response Section	Page(s)
	1. Inbound Mail Handling including a., b., i., ii., c., d. e.		
2) General Document Handling	SOW Section C 2. General Document Handling including a., b., c., d., e.	ITEM 3a-2. General Document Handling	12 - 14
3) Return Mail Handling	SOW Section C 3. Return Mail Handling including a., i., ii., b., i., ii., c., d.	ITEM 3a-3. Return Mail Handling	14 - 17
4) Organization, Retention & Destruction of client non original documents	SOW Section C 4. Organization Retention & Destruction of client non-original documents including a., i., b., i., ii., iii., iv., c.	ITEM 3a-4. Organization, Retention & Destruction of client non original documents	17, 18
5) Processing Electronic Data Input	SOW Section C 5. Processing Electronic Data Input (Fax, Network Scans, Document Upload) including a., b., c., d.	ITEM 3a-5. Processing Electronic Data Input (Fax, Network Scans, Document Upload)	19
6) Manual Document Classification	SOW Section C 6. Manual Document Classification SOW Section D	ITEM 3a-6. Manual Document Classification	19
7) Quality Assurance	SOW Section C 7. Quality Assurance including a., i., ii., b.	ITEM 3a-7. Quality Assurance	20
8) Manual Document Handling	SOW Section C 8. Manual Document Handling including a., b., c., d., e., f., g., h., i.	ITEM 3a-8. Manual Document Handling	20, 21
9) Facilities and Infrastructure	SOW Section C 9. Facilities and Infrastructure including Contractor Responsibility a., b., c., d., e., f. and State Responsibility a., b., c., d.	ITEM 3a-9. Facilities and Infrastructure	21
10) Management	SOW Section C 10. Management including a., a., b., c. SOW Section E	ITEM 3a-10. Management	21
11) SDLC Support	SOW Section C 11. SDLC Support including a., b.	ITEM 3a-11. SDLC Support	21, 22
b. Describe Processes for ensuring compliance with defined procedures and for PHI and PII	SOW Section C SOW Section B.5 Compliance with Standards & Regulatory Requirements	ITEM 3b. Describe the processes you will employ for ensuring compliance with defined procedures as well as privacy and confidentiality requirements for PHI and PII	22 - 24
4. Transition and Turnover	SOW Section D	ITEM 4 – Transition and Turnover	24 - 32

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Attachment F Section	RFP/SOW Section	Response Section	Page(s)
a. Describe Plan to perform transition and turnover responsibilities	SOW Section D Transition	ITEM 4a. Transition and Turnover Responsibilities outlined in Section D of Attachment C, including the Initial Transition and the End of Contract Turnover	24 - 26
b. Needs from Incumbent Vendor	SOW Section D Transition	ITEM 4b. Needs from the incumbent vendor as part of transition activities	27
c. How to ensure no gap in service	SOW Section D Transition	ITEM 4c. How you will ensure there is no gap in service	27
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e. Initial Transition Plan	SOW Section D Transition	ITEM 4e. Proposed Initial Transition Plan with a detailed timeline for all Initial Transition activities, including the proposed start and end date for each activity	27 - 29
f. How to identify and recruit necessary staff for Transition	SOW Section D Transition	ITEM 4f. Describe how you will identify and/or recruit the necessary qualified staff as part of the Transition, and the timing on recruiting, training, and onboarding activities	29
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g. Proposed Turnover Plan	SOW Section D Turnover Contract Attachment B clause 13 (Continuity of Services)	ITEM 4g. Proposed Turnover Plan with a detailed timeline for all Turnover activities, including the proposed start and end date for each activity	30 - 32
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6. Staffing	SOW Section E	ITEM 6 – Staffing	35 - 51
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b. Staffing Plan description	SOW Section E Section 1. General Staffing Requirements	ITEM 6b. Describe your overall staffing plan for the roles and responsibilities outlined in Attachment C	35, 36

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c. Organizational Chart	SOW Section E Section 1. General Staffing Requirements	ITEM 6c. Include an organizational chart for the proposed project team, including the role of any subcontractors	37
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1) Describe role of subcontractors	SOW Section E Section 1. General Staffing Requirements	ITEM 6g-1. Describe the role of any subcontractors you will utilize for this Contract	49
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KPI 1a	SOW Section F Section 2. Key Performance Indicators – Performance Standard Metric Table	KPI 1a—Document Scanning and Processing—90% of documents are scanned, indexed and entered into the database on the same business day of receipt by the Document Center if documents are received prior to 7:15 pm EST	53
KPI 1b	SOW Section F Section 2. Key Performance Indicators – Performance Standard Metric Table	KPI 1b—90% of documents are scanned, indexed and entered into the database by Noon EST of the following business day if received after 7:15pm EST	53, 54
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Attachment F Section	RFP/SOW Section	Response Section	Page(s)
		requested to be re-scanned will be measured again this criterion based on the "date of rescan" request	
KPI 2	SOW Section F Section 2. Key Performance Indicators – Performance Standard Metric Table	KPI 2—Document Classification Quality—At least 98% of all manually classified documents shall be classified correctly	55
KPI 3	SOW Section F Section 2. Key Performance Indicators – Performance Standard Metric Table	KPI 3—99.9% of the captured data that has gone through quality assurance (KFI QA) will meet or exceed this error percentage objective around accuracy of data entries, legibility, and accuracy of page counts	55, 56
KPI 4	SOW Section F Section 2. Key Performance Indicators – Performance Standard Metric Table	KPI 4—Returned Mail Handling—95% of documents are returned within 72 business hours after processing	56
c. For Each KPI, explain how the data for service level is collected and reported	SOW Section F Section 2. Key Performance Indicators including a., b., c., d., e.	ITEM 7c. For each enumerated KPI, explain how the data for the service level will be collected and reported and how you propose to meet or exceed the thresholds for compliance	57 - 59
KPI 1a	SOW Section F Section 2. Key Performance Indicators – Performance Standard Metric Table	KPI 1a—Document Scanning and Processing—90% of documents are scanned, indexed and entered into the database on the same business day of receipt by the Document Center if documents are received prior to 7:15 pm EST	57
KPI 1b	SOW Section F Section 2. Key Performance Indicators – Performance Standard Metric Table	KPI 1b—90% of documents are scanned, indexed and entered into the database by Noon EST of the following business day if received after 7:15pm EST	57
KPI 1c	SOW Section F Section 2. Key Performance Indicators – Performance Standard Metric Table	KPI 1c—100% of documents scanned within two business days of receipt by the Document Center. Any documentation that has been requested to be re-scanned will be measured again this criterion based on the "date of rescan" request	58
KPI 2	SOW Section F Section 2. Key Performance Indicators – Performance Standard Metric Table	KPI 2—Document Classification Quality—At least 98% of all manually classified documents shall be classified correctly	58
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8. Other		ITEM 8 – Other	59 - 60
Confirm understanding and agreement of provision in Section G	SOW Section G	ITEM 8a. Please confirm your understanding of, and agreement with, the provisions in Section G (Corrective Actions and Payment Withholds) of Attachment C	59
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Confirm understanding and agreement of provision in Section I	SOW Section I	ITEM 8c. Please confirm your understanding of, and agreement with, the provisions in Section I (Billing and Invoicing) of Attachment C	60

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