Eloy S. Inos
Governor
Commonwealth of the
Northern Mariana Islands

Jude U. Hofschneider
Lt. Governor
Commonwealth of the
Northern Mariana Islands

Herman S. Sablan
Director
Division of Procurement & Supply
Department of Finance

Laura T. Ogumoro
Secretary
Department of Community &
Cultural Affairs

REQUEST FOR PROPOSALS
RFP14-DCCA/NAP-057

The Commonwealth of the Northern Mariana Islands (CNMI) Government, issues a Request For Proposals (RFP) from qualified firms to provide:

"CNMI Nutrition Assistance Program's Eligibility System"

Issuance Date: April 28, 2014

Closing Date: July 28, 2014
No later than 10:00 a.m. local time

All proposal submissions must be sealed, shall be marked "RFP14-DCCA/NAP-057" and submitted in an original, and four (4) copies no later than 10:00 a.m., local time, July 28, 2014 to Mr. Herman S. Sablan, Director - Procurement and Supply, Lower Base Drive, P.O. Box 510008 C.K. Saipan, MP 96950.

Governor Eloy S. Inos and Lt. Governor Jude Hofschneider, through the Secretary, Department of Community & Cultural Affairs, is hereby giving notice that the Department of Community & Cultural Affairs, Nutrition Assistance Program is soliciting sealed proposals from interested, licensed and qualified firms to provide "CNMI Nutrition Assistance Program's Eligibility System" Additional information on the scope of work and terms and conditions are found in the request for proposals.

A pre-proposal conference will be held at 9:00 a.m., local time, on May 28, 2014, at the DCCA - NAP Office, located at the JTV Building in As Lito, Saipan, MP 96950. Attendance at this conference is not mandatory but may be considered essential to the prospective offeror's understanding of the scope of work.

Questions regarding this RFP must be submitted in writing and are due no later than June 30, 2014 and should be directed to:

Mr. Walter Macaranas
NAP Administrator
Department of Community & Cultural Affairs
P.O. Box 501488, Saipan, MP 96950
Telephone Number: (670) 664-2840
Fax Number: (670) 664-2850
Email: dccanap@pticom.com

Responses to questions shall be shared with all registered firms.

This Request For Proposals (RFP) describes the specifications for the services to be provided to permit full and open competition and which will allow the offeror to properly respond to the RFP.

This RFP is issued under the authority promulgated by Subsection 70-30.3-210 of the CNMI Procurement Regulations.

All proposal submissions must be sealed, shall be marked "RFP14-DCCA/NAP-057" and submitted in an original, and four (4) copies no later than 10:00 a.m., local time, July 28, 2014 to the Office of the Director of Procurement and Supply, Lower Base Drive, Saipan, MP 96950.

Proposers located outside of the CNMI may obtain an additional seven (7) working days for receipt of their proposal by submitting a Notice of Intent to Propose. Notices of Intent to Propose must be received by the Director of Procurement and Supply no later than 10:00 a.m., local time, July 28, 2014, and may be transmitted via facsimile to (670) 664-1515 or via email to procurement@pticom.com.

In addition, proposers located outside the CNMI, one original and four (4) copies of sealed proposals must be postmarked by the U.S. Postal Service or the official government postal service of a foreign country no later than July 28, 2014 and must be received at the Office of the Director of Procurement and Supply, Lower Base Drive no later than August 6, 2014. Note that failure to submit the required number of copies may be caused for rejection of proposal.

1. Statement of Purpose

Department of Community and Cultural Affairs (DCCA) is looking to engage with a vendor that will improve the operation and service level of the CNMI NAP program by replacing the current system with a modern, comprehensive system that better meets the needs of CNMI. While replacement of the CNMI NAP system is the primary goal, a secondary goal is to modify the software to operate for the American Samoa Nutrition Assistance Program (ASNAP). The projects to replace the NAP systems for both the CNMI and American Samoa have been combined. CNMI will handle the project lead. Any services required for American Samoa must be acquired utilizing the contract entered by the CNMI by change order.

2. Timeline

Milestone	**Duration / Deadline**
RFP Posted Date	April 28, 2014
Deadline for Registration	June 30, 2014
Questions regarding RFP must be submitted in writing	June 30, 2014
CNMI NAP Y2K System and ASNAP Talofa System Demos	15 day range after registration
Sealed Proposals due no later than 10:00 a.m. local time	July 28, 2014 (Proposers located outside the CNMI must submit Notice of Intent to Propose no later than 10:00 a.m. local time, July 28, 2014. In addition, one original and four copies must be postmarked on July 28, 2014 and received no later than August 6, 2014)
Evaluation Period	July 28, 2014 to August 28, 2014
Award Date	August 29, 2014

3. Preparation Instructions

It is mandatory that all interested parties register with the CNMI Division Procurement & Supply by the deadline noted above. Once registered, you will be notified should there be any amendments made to this RFP. To register, contact Mr. Herman S. Sablan at procurement@pticom.com.

It is recommended that the Respondent organize any questions and submit in writing to Mr. Walter Macaranas, NAP Administrator by the date noted in the Timeline.

Each respondent is entitled to a demonstration of CNMI's existing Y2K system and the ASNAP Talofa system. Requests for demonstration are required by the date noted in the Timeline.

The proposal must contain three (3) parts: Technical, Prior Related Experience, and Contract Price. Please prepare your proposal in detail accordingly.

Reference detail can be found in the Appendices of this document. For your reference,

Appendix A: CNMI New System Detail, SOW	Page 7
Appendix B: CNMI Requirements Response	Page 15
Appendix C: CNMI Functional Maps	Page 34
Appendix D: CNMI Reference	Page 70
Appendix E: ASG New System Detail, SOW	Page 95
Appendix F: ASG Requirements Response	Page 101
Appendix G: ASG Functional Maps	Page 127
Appendix H: ASG Reference	Page 160

The response to this RFP shall include, but need not be limited to, the information described below. All information submitted shall pertain to the legal entity, subsidiary, or affiliate which will execute the contract.

a) ***TECHNICAL*** **-** Vendor must describe in a narrative the approach used in addressing the Scope of Work and System Performance Requirements (section 8 and 11 in Appendix A). Vendor must complete the Requirement Response spreadsheet found in Appendix B, which encompasses functional aspects of the project. Functional Maps referenced in Appendix B can be found in Appendix C.

   As noted in the Statement of Purpose, a secondary goal is to modify and implement the new system for use by the American Samoa Government. As with the CNMI system, the vendor must describe the approach used in addressing the ASNAP Scope of Work and System Performance Requirements (section 8 and 10 in Appendix E) in a narrative. Vendor must complete the ASNAP Requirement Response spreadsheet found in Appendix F, which encompasses functional aspects of the project.

b) ***PRIOR RELATED EXPERIENCE*****–** A description of the Offeror's related experience, background, past performance and credentials. This should include, but not be limited to the following:

   i) Organization complete name and address;
   ii) Indicate the type of organization (a corporation, a joint venture, a partnership, or an individual) submitting a proposal;
   iii) Size of organization;
   iv) Years in business;
   v) General description of organization;
   vi) Qualifications & statement of experience for principals and/or personnel of your organization;
   vii) Provide a complete list of recent, similar projects your organization has completed and any current ongoing work, outlining the following:
      (1) Project Description;
      (2) Contract Amount;
      (3) Contract Dates;

(4) Name & Phone Number of Contact;

c) ***CONTRACT PRICE*** - Offeror's price for services, including a breakdown of project costs (e.g. estimated costs for materials, labor, travel, taxes, etc.). Breakdown between CNMI and ASNAP system costs is required.

EVALUATION CRITERIA

Proposals will be reviewed and evaluated by a selection committee appointed by the Secretary of DCCA. All proposals will be evaluated according to the following criteria:

a)	Technical	0-40 points
	i) Ability to migrate to EBT	
	ii) Familiarization of NAP	
	iii) Ability to meet system functionality needs	
	iv) Ability to tailor system to meet needs of organization	
	v) Ability to customize software in terms of adding fields, changing validation, etc.	
	vi) Ability to meet system performance requirements	
	vii) Ability to meet or exceed reporting requirements	
b)	Prior Related Experience	0-25 points
c)	Time Frame	0-10 points
d)	Contract Price	0-25 points
	TOTAL	**0 - 100 points** (best possible score)

Price is also a factor that will be evaluated in comparison with the overall merit of the proposals. Technical merit is more important than price and the CNMI government reserves the right to award to other than the lower offeror. As Proposals become more equal in technical merit, the importance of price will increase.

Discussion with responsible offerors and revisions to proposals. Discussions may be conducted with responsible offerors who submit proposals determined to be reasonably susceptible of being selected for award for the purpose of clarification and to insure full understanding of, and responsiveness to, solicitation requirements. Offerors shall be accorded fair and equal treatment with respect to any opportunity for discussion and revision of proposal and such revisions may be permitted after submission and prior to award for the purpose of obtaining the best and final offers. In conducting discussion, there shall be no disclosure of any information derived from proposals submitted by competing offerors.

Award. Award of contract shall be made to the responsible offeror whose proposal is determined in writing to be most advantageous to the government taking into consideration

price and the evaluation factors set forth in this request for proposal. No other factors or criteria shall be used in the evaluation.

a) This project is funded by Food and Nutrition Service through the U.S. Department of Agriculture. The conditions of this grant, Federal Regulation 7 CFR Part 277.14, prohibit the use of statutorily or administratively imposed local geographical preferences in the evaluation of bids or proposals.

b) All wage rates for employees performing work, labor, and services on this project shall be paid the U.S. Federal minimum wage.

The government reserves the right to reject any and all proposals and to waive any imperfection in a proposal if in the best interest of the Commonwealth of the Northern Mariana Islands. All proposals shall become the property of the CNMI government.

Laura T. Ogumoro
Secretary, DCCA

Date 4/23/14

Herman S. Sablan
Director, Procurement & Supply

Date 04-25-14

APPENDIX A – CNMI NAP OVERVIEW, NEW SYSTEM SOW

1. Background Information

The CNMI Nutrition Assistance Program was implemented on July 2, 1982 to help the growing number of low- income persons in the CNMI. Such assistance helps promote the general welfare by raising the nutrition levels of households with little or no income. Nearly a year after its implementation, a customized data system, called Y2K, was developed to record recipient data, print ATP cards and produce statistics and reports. Since that period, such system has retained the same technological foundation encountering a series of modifications through the years necessary to meet policy changes, expanded data ranges, new reporting requirements, technological advancements, etc. The existing system is presently operational, however it operates at minimal standards – it cannot operate in ways to meet the demand for present day automation systems that rely less on paper work, transact business on-screen/on-line, and to process benefits instantly. The Y2K system was developed from database application FoxPro 2.1a.

As part of CNMI plan, the NAP would like to move into the evolution of EBT (Electronic Benefits Transfer), where benefits are electronically transferred to a debit card-type system, instead of the obsolete paper coupons. However, in order for CNMI NAP to move into that direction, CNMI NAP is required to – first; automate its eligibility system and processes according to the standards of EBT information technology. So in essence, CNMI NAP is required to (first) build a robust eligibility system and subsequently, as a second phase, is to move into the direction of system integration of the EBT system.

2. Existing Hardware Overview

The NAP computer system consists of 22 workstations in a local area network (LAN) connected to a network server. Description of computers and LAN equipment are shown below:

Qty 1 **File Server**

Intel Xeon E5410 Quad Core 2.33GHz
Two (2) 250GB 3.5" Internal Hot-swappable
4GB DDR2-667/PC2-5300 Max 32GB
ATi ES1000 16MB SDRAM
17" LCD Monitor Flat Screen
DVD-RW/CD-RW Drive
2 x Broadcom 5721 Gigabit Ethernet IEEE 802.3ab
Expansion Slots: 1 x 32-bit/ 33MHz 5V PCI (Half-length)
2 x 64-bit/ 133MHz 3.3V PCI-X Total
2 x PCI Express x8 Total
1 x PCI Express x8 (Half-length) Total
2 x 5.25" External Removable Media Bay Free
1 x 5.25" External Removable Media Bay Populated
4 x 3.5" Internal Drive Bay Total
1 x 3.5" Slimline External Removable Media Bay Total
4 x 3.5" Slimline Internal Drive Bay Total

Optical mouse & multimedia standard keyboard
Tower Case w/ 835W Dual Redundant Power Supply
PS2/USB Keyboard & Optical Mouse w/ Mouse Pad
Cyberpower 8-outlet CP1200AVR 1200va 720w USB serial w/AVR
Windows 2008 32/64-bit DVD 25-User Enterprise Edition
Symantec Endpoint Protection v.11 25-User
Buffalo 1TB (2x500GB) Linkstation Pro Duo NAS RAID

Qty 1 Main Distribution Frame (MDF)
Elite Series Wall Mount Cabinets, 24"H (60.9 cm), 12U

Qty 1 Intermediate Distribution Frame (IDF)
Wall Mounted Cabinets, 6U

Qty 2 CYBERPOWER 6-outlet OR700LCDRM1U 700va 400w 1030-joules avr line-interactive LCD rackmount ups rj11 rj45 USB serial

Qty 1 CISCO 2821 Router

Qty 2 LINKSYS 24-port 10/100/1000 gigabit switch 2-port gbic rack mountable

Qty 2 24 Port Patch Panel Cat6 1U

Qty 2 2U Horizontal Cable Management Panel

Qty 2 Cantilever Rack Shelf

Qty 20 Desktop Computer Systems

Processor: Intel Dual Core E2220 2.4GHz (800MHz)
Motherboard: ASUS P5KPL-CM intel g31 chipset micro ATX form factor 1xPCI-E(x16)/1xPCI-E(x4)/2xpci/2xddr2 w/integrated vga,sata2,lan(gb),usb 2.0 & audio / 1 x Parallel /1 x COM port
Memory: 2GB DDR2 Kingston
Monitor:ACER 17" LCD Flat Screen Monitor w/ Speakers
Hard Drive: 160GB SATA 7200RPM Hard Drive
Graphics Card: Radeon HD3450h 512MB DDR2 PCI Express Dual-link dvi
Audio: Integrated PCI Sound
Optical Drive: 20x dual DVD rw drive
Floppy Drive: Internal Floppy Disk Drive
Case: Black Mid Tower Case 500W w/ USB (4 Back, 2 Front)
Keyboard: PS2/USB keyboard & Optical Mouse w/ mouse pad
Operating System: MICROSOFT Windows XP Professional SP3 w/ CD
Application Software: Microsoft Office Professional 2007 License
UPS:CYBERPOWER 8-outlet 685VA w/ AVR

Qty 9 Printers

1 Ea Epson DFX-9000 Dot Matrix Printer w/ Network Card

2	Ea	Epson FX-2190N Dot Matrix Printer Network Printer
8	Ea	HP Color Laserjet CP2025DN

Other Hardware Equipment:

Qty 3	Copier Machine Xerox Phaser 3635 MFP; Canon Image Runner 2230; Canon GP200
Qty 1	Desktop Computer Intel Core i3 3.06GHZ Power Station; WD 500 GB SATA HD; Crucial 2GB DDR3; MS Windows 7 Pro 32 Bit, MS Office Pro 2010 Academic Version; Symantic 2011
Qty 1	Laser Printer HP Laserjet 2600N
Qty 2	Inkjet Printer Deskjet 935C; Deskjet 697C
Qty 1	Laptop Acer Travel Mate 4062WLMi; Intel Pentium M740 Processer; 100GB HD; 512MB DD2

Manufacture Clause:

"Any manufacturer's, names, trade names, brand names, catalog or model numbers used in the specifications are there for the purpose of reference in establishing and describing specific performance and quality levels. Such references are not intended to be restrictive, and bids are invited on this and comparable brands or products of any manufacturer."

The brands designated are for reference purposes only, not a statement of preference. Any other brands or models substantially equivalent to the specifications are considered for award, with the purchaser reserving the right to determine equivalency.

4. Current Processing Environment

The CNMI NAP program provides functional support of the business procedures for the following applications:

- Security – necessary security safeguards and processes
- Application process – initial step when a new client comes in to apply for benefits
- Manual calculation of eligibility
- Reports and queries
- Issuance – the process of issuing food coupons to eligible recipients
- Recertification – the process of recertifying clients whose eligibility has expired
- Rights & Appeals – the process associated with a client's appeal when benefits are denied
- Claims and Collections – the process of entering claims against clients and documenting the collection of such claims
- Retailer Certification – the process of certifying retailers to receive food coupons
- Redemption and Reconciliation – the process of validating redeemed coupons and reconciling financial information
- Financial – budget, appropriations, and expenditure reports associated with the Program

- Management Evaluation – Quality control checks, investigations, case reviews and home visits

6. Current Situation

Much of the work performed to prepare, produce and distribute benefits is done manually which affects CNMI NAP's ability to be more efficient in providing quality client service, and ability to produce benefits expeditiously especially for most applicants and ongoing recipients in need. Based on December 2013 data, CNMI NAP provided assistance to 3,222 household cases consisting of 8,717 individuals on three Island Centers: Saipan, Tinian and Rota. The Certification Unit, which handles determination of applicant eligibility, employs five Eligibility Workers (EWs) and one Supervisor, each EW processes approximate 644 cases within 1-6 month periods for certification, while the Supervisor performs reviews of all applications prior to actual approval.

Prior to determining approval or disapproval of an application several processes must be followed. Prior to submitting an application, a new applicant must attend a class-like orientation, participate in a face-to-face interview, and submit applications and documentation relative to all eligibility criteria as to citizenship, resources, and income. The EW shall verify all documentation and whether the applicant conforms to CNMI NAP eligibility criteria, including living arrangement, status, and household circumstances. Upon completion of verification, EW is then substantiated with information to determine eligibility.

Regardless of eligibility, each application is assigned a case number and shall be labeled on a folder along with a case name, which shall contain all required documentation. Such case number is then entered in the Y2K system which shall include data such as name of head of household, names of household members, citizenship, dates of birth, age, status, district, income and type of income, and resources, including information pertaining to outstanding claims and payments, work registration codes, zero-income requirements and, if applicable, names of authorized representative(s).

Upon completion of data entry, EW creates batch for TAD (turn-around document), recognized as list of eligible applicants is provided to the Certification Unit Supervisor for approval prior to benefit processing. Other cases not entitled for benefits, such as denied, withdrawn, and terminated cases (known as inactive cases) remain in the Y2K system for proper accountability, reporting, statistical data, monitoring, and case file review.

Upon approval and completion of batch file, the process is then transferred to the Benefit Issuance, Claims, & Accountability (BICA) Unit, in which batch is posted to produce ATP checks (authorization to participate). ATP checks specifies the name of head of household, the amount household is entitled to receive, and other information such as case number, benefit month, certified thru period, and number of booklets per coupon denomination. ATP checks are presented to eligible participants who shall verify and acknowledge by signing the ATP check of the entitled benefit amount which shall be used in exchange of food stamps distributed to the participant by the BICA Unit official. In December 2013, the BICA Unit, which employs four Issuance Clerks and one Supervisor, distributed ATP checks and food coupons to approximately 2,967 cases on Saipan and the Northern Islands, 111 cases on Rota, 144 cases on Tinian. Upon completion of the issuance period, the BICA Unit performs monthly accountability and reconciliation of issued benefits and

verified ATPs, which then creates various reports necessary for statistical data, paid and outstanding claims, and data for reporting to CNMI government agencies and the federal granting agency.

The Y2K system provides certain operational features in managing client data and producing benefit data, but due to present caseload and program changes, an upgrade of such system is necessary to meet demand for modern data technology.

7. New System

Major Objectives of the Proposed System:

- To provide effective and efficient client services and data quality levels.
- To provide timely and accurate fiscal and management reports.
- To provide documentation and staff user training.
- To provide system controls and checks to reduce opportunities for fraud and abuse.

The Department desires a new automated system that will address current issues and also provide a modern automated environment that will improve operations and customer service.

- The new system should be able to provide effective and efficient client services and data quality levels. Example: We would expect to see a reduction in the time between caseworker and applicants by having an efficient way of entering clients into the system.
- The new system should be able to provide timely and accurate fiscal and management reports. Example: The ability to run canned reports from the system and also to be able to run ad hoc reports if system does not provide required reports (reports that MIS can write through the use of SQL or recommended language by vendor) possibly through ODBS connection or recommended DB Editor. Training provided to staff on these report solutions required.
- The new system should be able to provide a system of checks to reduce opportunities for fraud and abuse. Example: Provide a report that can be run by management to identify fraud or abuse. This report should have the capability to be run daily, weekly, and monthly.
- The new system should have a rules engine which will allow for easy changes in program rules, if needed.
- The new system should be able to reconcile the issued food stamp coupons and redeemed coupons from the bank.

In addition, it is envisioned that the system will have the following attributes:

- Configurable on a number of levels. New fields shall be able to be established and used throughout the system without technical assistance. Numerous configuration options will be provided to adjust system functionality. In general, system content (fields, validation rules,

screen position, etc) shall be separated from system programming to the greatest extent possible.

- Data shall be accessible to end users. The SQL database shall be accessible to users through the use of Excel downloads and user-configurable reporting tools. Reporting requirements are to be met without technical assistance. This shall include the ability to create re-useable 'views' that simplify the merging of multiple relational tables (Ex Client tables and Issuance tables)
- Extensive use of document scanning, electronic signatures and workflow shall be included to improve operations.
- Extensive use of workflow functionality characterized by electronic log showing the assignment and performance on client files. For example, an Eligibility case will be initiated by a Worker, then electronically forwarded to the Manager for review and approval, then routed back to the Worker. All of this shall be recorded in a workflow log.
- NAP Portal for Clients and Authorized Retailers for status updates, inquiries, application information, and NAP program changes and events.
- Bar Coding coupons
- Alternative coupon production
- Separate sub-system for Presidential declared disasters
- Real-time access to privileged users

8. Scope of Work Components

The NEW SYSTEM is the integrated/configurable computer system to meet the Functional Specifications in the documents submitted including but not limited to the Detail Requirements Document and the Functional Requirements Document. The system is comprised of the following:

- any software developed or provided by the vendor
- specifications for required hardware
- the Software Development Environment
- access to all underlying source code and documentation
- Associated System Documentation
- Data Integration from current (Y2K) to new system

Vendor is responsible for the scope of work to be included in the NEW SYSTEM Development Project as listed below:

- application software and documentation
- the identification of coupon production printers including backup printers

- the identification of equipment requirements including scanners
- the identification of packaged software required to run the application
- the setup of a staging area, a beta test.
- Project management of the NEW SYSTEM development and testing. This will include the assigning of a Project Manager and the maintenance of project management plan and project issues and any other required project management documents.
- Identification and monitoring the status of any required subcontractor deliverables
- NEW SYSTEM application software design and development as outlined in RFP Requirements documents.
- New System application software testing (includes unit testing, integration testing, and system testing, and support for The DCCA/NAP's Acceptance Testing and Beta Testing)
- NEW SYSTEM software development environment
- NEW SYSTEM application source code
- NEW SYSTEM application documentation
- Development and implementation of comprehensive backup plan – including an off-island backup
- Preparation of user aids and instructor's training guide
- "Train the Trainer" development and training (at the Department's site or via remote)
- Initial deployment of NEW SYSTEM application software and hardware and backup process
- Proposal of on-going annual maintenance

9. Scope of Work to be Excluded

The following items are specifically outside the scope of this project from the awarded Vendor's perspective (unless specified otherwise in Vendor's proposal):

- Acquisition of NEW SYSTEM hardware, operating system and networking software (e.g., Windows NTAS), communications.
- Acquisition of purchased software licenses for NEW SYSTEM production sites (e.g., Oracle, SQL etc)
- Site preparation
- Provision of acceptance test data and Beta test data
- Conducting acceptance testing
- Deployment of hardware, system software, communications (except for Beta test)
- Note: Direction and documentation from the awarded Respondent Vendor on the above items is understood to be 'IN SCOPE'.

10. Changes to the Scope of Work

The Contractor or CNMI NAP may propose changes to the SOW but decisions to make such changes are at the sole discretion of CNMI NAP.

11. System Performance Requirements

Overview

As a result of terminations, relocation or other changes, the number of participants is at approximately 9,000. Workload is highest during the issuance week of each month. The program is anticipating a change to increase its income threshold and increase its benefit level that would result in a growth in client participation. The NEW SYSTEM must meet the demands of the current number of participants, as well as be scalable to the degree indicated.

Reliability

System downtime will result in the following consequences:

- Loss of employee productivity
- Reduction in quality of client service (longer wait time, re-schedule appointments, delay in issuance)

The NEW SYSTEM shall revert to a mirror that is on the Island of Saipan within 30 minutes of a failure.

In the event of data corruption, the restore point shall be one hour or less, meaning at a maximum, only one hour of data entry could be lost. Longer revert times and restore points are acceptable if cost-justified.

General Performance

The speed of screen loads must be sub-second and reports be less than 5 seconds for the first page.

Capacity

We expect the NEW SYSTEM to have approximately twenty users logged in a time. This may peak up to 30 users. There will be at least 7,000 “client facing” transactions involving multiple database hits per month. In addition there will be retailer redemption activity and multiple reports run for accounting purposes.

12. Agencies and Programs That Will Use the System

CNMI NAP is not currently interfaced with other agencies or programs, but is amendable to work with collaborating agencies within DCCA and the CNMI government.

APPENDIX B - CNMI REQUIREMENTS RESPONSE

Instructions:

1. Assess your solution against each requirement according to the following risk scale:

1=standard system feature, no configuration required
2=configuration only required, no development required
3=minor development, simple architecture
4=full development required from scratch
5=not possible, will not deliver

2. Assess your solution against an effort scale of your definition, for example:

Small = less than 2 weeks effort to get to production
Medium = less than 4 weeks effort to get to production
Large = more than 4 weeks effort to get to production

3. Provide detail on how you will address requirement in Vendor Notes field.

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
Functional Area: All					
General Requirements					
GR-01	n/a	System must include the ability to define and create all data elements necessary to meet the business processes identified within the To Be Maps for the NAP program.			
GR-02	n/a	All actions and activity within system may be logged and available for audit.			
GR-03	n/a	The system should have the ability to schedule reminders or "ticklers" for NAP Program staff members.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
GR-04	n/a	System has ability to set security by field, role, department, and individual.			
GR-05	n/a	System must allow for recording of communication and contact between NAP Program staff and applicants or clients.			
GR-06	n/a	System must include a Tickler and Task List component which will allow NAP staff and managers the ability to manage and account for pending documents, zero income questionnaire, work requirement, etc			
GR-07	n/a	System includes Contact Information			
GR-08	n/a	System includes Household Members, Statuses			
GR-09	n/a	System must include a workflow engine which allows for routing of cases based on flexible rules and triggers that can be configured to meet the business processes of CNMI.			
GR-10	n/a	System must include a robust reporting solution which will allow CNMI to produce reports including any data elements and selection criteria.			
GR-11	n/a	System should include mobile functionality allowing for NAP employees to work on remote islands with internet access.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
Functional Area: Certification					
Map 01 - Certification - New Client Process					
		NOTE: Today when a resident elects to apply for NAP benefits they must go to the NAP Program Office and do everything manually. The application and all supporting information must be submitted as hard copies. The new system will help automate many portions of this process and the requirements below must be met by the new system in order to move the organization in this direction.			
CE-NC-01	Map 01 To Be	The system must include an Online Portal for benefit applicants.			
CE-NC-02	Map 01 To Be	The Online Portal must include an area for online orientation to the NAP Program.			
CE-NC-03	Map 01 To Be	The Online Portal must include the ability for applicants to determine eligibility through an online calculation tool before completing an application.			
CE-NC-04	Map 01 To Be	The system must allow for applicant to view NAP Program Orientation online via NAP Portal.			
CE-NC-05	Map 01 To Be	The Online Portal must include the ability for applicants to complete the application for assistance online.			
CE-NC-06	Map 01 To Be	The system must include the ability for NAP staff to see and edit online version of client applications.			
CE-NC-07	Map 01 To Be	The system must provide document management capabilities for all supporting documentation to be included with a client's application. All supporting documentation should be stored with client's record and accessible by NAP staff.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
CE-NC-08	Map 01 To Be	The system must include a workflow engine which allows for routing of client application cases to Eligibility Workers through various schemas, including workload analysis, round-robin and others.			
CE-NC-09	Map 01 To Be	The system must include the ability for Eligibility Worker to select recommended decision in system and then route via workflow and task list to Certification Manager.			
CE-NC-10	Map 01 To Be	The system must provide the Certification Manager with the ability to review applications online, including all supporting documentation.			
CE-NC-11	Map 01 To Be	The system must provide workflow configuration that will allow a "Yes decision" notification which flows to Eligibility Worker who can then confirm application approval in the system.			
CE-NC-12	Map 01 To Be	The system must provide workflow configuration that will support the creation of an ID card for a benefit recipient based on a "Yes decision."			
CE-NC-13	Map 01 To Be	The system must have the ability to generate an ID Card Issuance List based on various criteria, including issuance date as well as various applicant attributes.			
CE-NC-14	Map 01 To Be	The system must provide workflow configuration that will support a "Yes decision" workflow which adds entry to Task List for Eligibility Worker to notify applicant by phone of approval status.			
CE-NC-15	Map 01 To Be	The system must provide workflow configuration that will add a client to the Issuance Batch List upon a "Yes decision."			
CE-NC-16	Map 01 To Be	"No decision" causes "Decline Letter" to be mailed to			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
		applicant.			
CE-NC-17	Map 01 To Be	The system must provide ability to track all eligibility requirements for a client so that Eligibility Worker can review case in person with applicant and clear any pending requirements remaining in the system as client meets those requirements.			
CE-NC-18	Map 01 To Be	The system must allow for application progress tracking by NAP program staff and also by applicant.			
CE-NC-19	Map 01 To Be	Upon application approval, the system must allow for renewal appointment creation on system calendar based on eligibility rules and time frame determined by NAP Program guidelines and requirements.			
CE-NC-20	Map 01 To Be	The system must include a view or screen that includes the elements of an Application and illustrates whether those elements have been completed, are in progress, or still need to be completed.			
CE-NC-21	Map 01 To Be	The system must include a workflow model that will move applicant to Issuance when they have been approved to receive benefits.			
CE-NC-22	Map 01 To Be	Clients are allowed to start receiving benefits even if they do not have a Social Security number. However, they are required to get their Social Security Number within 3 months. The system must have the ability to set a tickler for follow-up if no Social Security Number has been provided by X date.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
Functional Area: Certification					
Map 02 - Certification – Re-certification					
		NOTE: The Recertification process takes place because NAP Program clients are approved for benefits for a given period of time and must periodically recertify to ensure that they still qualify for benefits. Therefore, the mass majority of requirements identified within the New Client Process would also apply to the Recertification process. Below are the additional requirements which must be provided to support the Recertification process.			
CE-RC-01	Map 02 To Be	The Online Portal must allow existing NAP clients to access their profiles and submit required documentation via the system.			
CE-RC-02	Map 02 To Be	System must allow NAP staff to review the records of a client who is up for recertification and determine which background documents must be submitted to NAP to meet the recertification requirements.			
CE-RC-03	Map 02 To Be	System must allow for scanning and attachment of new background documents to the client record.			
CE-RC-04	Map 02 To Be	System must allow for retention of historical background documents even after new documents have been submitted and attached to a client record.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
CE-RC-05	Map 02 To Be	System must allow for the ability to review the client's account and determine whether there have been any over or under-payments based on qualification documents supplied, and the payment history recorded in the system.			
CE-RC-06	Map 02 To Be	System must include an electronic equivalent of the Turn Around Document (TAD) that is used today.			
CE-RC-07	Map 02 To Be	System must allow Eligibility Worker to complete an Electronic Ledger Card, ID Card, and ATP Adjustment.			
CE-RC-08	Map 02 To Be	System must allow Eligibility Worker to select recommended decision in system and then route via workflow and task list for Manager.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
Functional Area: Certification					
Map 03 - Certification – Re-Opened Process					
		NOTE: The Re-Opened process is essentially identical to the recertification process. However, it is instigated when a client who had once received benefits, but then stopped receiving benefits, elects to come back to the program and attempt to receive benefits again. The requirements identified within the Recertification process would also apply to the Re-Opened process. Below are the additional requirements which must be provided to support the Re-Opened process.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
CE-RP-01	Map 03 To Be	System must allow for a client who previously received NAP benefits to access the online application through the NAP Portal.			
CE-RP-02	Map 03 To Be	An applicant starting the Re-Opened process must be able to access their existing profile within the system as well as the support documents they provided previously.			
CE-RP-03	Map 03 To Be	System must allow for an applicant to submit new support documents as attachments via the NAP portal			
CE-RP-04	Map 03 To Be	System must allow for applicant to view NAP Program Orientation online via NAP Portal.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
Functional Area: Certification					
Map 04 - Certification – Adjustment Process					
		NOTE: The Adjustment Process takes place when discovery of an event or change in client's income status requires an update and benefit level evaluation.			
CE-AP-01	Map 04 To Be	System must provide adverse action and worksheet screens in the event of a need for benefits adjustment.			
CE-AP-02	Map 04 To Be	System must log activities during adjustment.			
CE-AP-03	Map 04 To Be	System must allow termination, increase, or decrease updates to existing turnaround document.			
CE-AP-04	Map 04 To Be	In the event of adverse action (termination or decrease), notification in the NAP system and by mail must occur.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
CE-AP-05	Map 04 To Be	System must allow adjustments to be forwarded to manager via NAP system task list.			
CE-AP-06	Map 04 To Be	System must allow issuance to be placed on hold until pending requirements are completed by client.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
Functional Area: Certification					
Map 05 - Certification – Monthly Batch Run Process					
		NOTE: Each month the system is used to identify qualified benefit recipients and the Certification department reviews the list of recipients before it is forwarded to the Issuance department. The following requirements have been identified as necessary to support this process.			
CE-MB-01	Map 05 To Be	System must identify eligible issuances.			
CE-MB-02	Map 05 To Be	System must allow manager review of the issuance queue.			
CE-MB-03	Map 05 To Be	System must create a reviewable, modifiable pre-ATP register.			
CE-MB-04	Map 05 To Be	System must identify and flag for review issuances that have had similar prior issuances in same period without dispense.			
CE-MB-05	Map 05 To Be	System must identify and flag for review issuances that had similar prior issuances in same period with dispense.			
CE-MB-06	Map 05 To Be	System must allow sort capabilities in the batch.			
CE-MB-07	Map 05 To Be	System must make a void process available.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
CE-MB-08	Map 05 To Be	When issuances that had similar prior issuances in same period with dispense, system must allow the ability to launch into claim process.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
Functional Area: Certification					
Map 06 - Certification – Termination					
		NOTE: At any time a client may be terminated from receiving benefits for reasons such as self-withdrawal, disqualification, and others. The requirements below must be met in order to support the termination process.			
CE-TE-01	Map 06 To Be	In the event of pre-participation withdrawal, system must allow update to application to indicate status.			
CE-TE-02	Map 06 To Be	System must allow application resulting in termination to be archived in NAP system for future reference.			
CE-TE-03	Map 06 To Be	In the event of participant self-termination or disqualification, system must allow update to client status.			
CE-TE-04	Map 06 To Be	System must allow for manager approval of participant self-termination/disqualification via NAP system task list.			
CE-TE-05	Map 06 To Be	In the event that a claim is made after participation self-termination/disqualification, system must allow the electronic ledger card to be completed in the system.			
CE-TE-06	Map 06 To Be	In the event of non-participation, system must allow update to electronic TAD.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
CE-TE-07	Map 06 To Be	In the event of non-participation, system must produce mail notification after NOD is processed.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
Functional Area: Issuance					
Map 07 - Issuance – ATP Processing					
		NOTE: Each month the ATP process involves identifying the benefit recipients within the system and then creating an ATP or Authorization to Participate cover sheet for the recipient. Today, that ATP acts as a cover sheet and includes information about the recipient and their specific benefits including the coupon amounts to be distributed. This process could change considerably with the new software system and CNMI has not made a final determination in how the coupon production and distribution process will take place going forward. However, the requirements below represent the functionality that will be required to meet all of the scenarios currently under consideration.			
IS-AP-01	Map 07 To Be	System must allow Work Queue (pre-list) to be initiated and created in NAP system.			
IS-AP-02	Map 07 To Be	System must allow for review of the pre-list.			
IS-AP-03	Map 07 To Be	System must allow Certification Manager to review, approve, and route the pre-list.			
IS-AP-04	Map 07 To Be	In the event that traditional coupons are used, System must allow the generation of e-ATPs with system-generated serial numbers, sorted by location code.			
IS-AP-05	Map 07 To Be	System must allow for printing hard copies of ATPs for the islands of Rota, Tinian, and the Northern Islands.			
IS-AP-06	Map 07 To Be	System must allow for the printing of a receipt for client if requested.			
IS-AP-07	Map 07 To Be	In the event that barcoded coupons are used, system must allow bar-coded coupons to be scanned, and serial numbers to be associated with client.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
IS-AP-08	Map 07 To Be	System must allow a case number register to be available.			
IS-AP-09	Map 07 To Be	In the event that blank (watermark background-only) coupons are used, system must allow coupons to be printed with MICR coding.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
Functional Area: Issuance					
Map 09 - Issuance – Benefit Issuance (for Saipan, Tinian, and Rota)					
		NOTE: The actual benefit issuance process to be used going forward has not been determined at this time. As mentioned in the previous section there are several methodologies that could be used. In any case the functional requirements below should be provided for in the new system.			
IS-BI-01	Map 09 To Be	System must allow for Benefit Issuance staff to access a client's record when they, or their authorized representative, visit the Benefit Issuance counter to collect benefits.			
IS-BI-02	Map 09 To Be	If the client's ATP is "On Hold" then the system must allow for clearance of the hold if client has met criteria for clearing hold (typically completion of documentation).			
IS-BI-03	Map 09 To Be	In the event that barcoded coupons are used, system must bind coupon IDs to Client.			
IS-BI-04	Map 09 To Be	In the event that blank (watermark background-only) coupons are used, system must allow coupons to be printed with MICR coding.			
IS-BI-05	Map 09 To Be	System must allow for electronic signature by client upon receipt of their benefits.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
IS-BI-06	Map 09 To Be	System must allow for printing a hard copy receipt if requested by client.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
Functional Area: Issuance					
Map 10 - Issuance – End of Day, Week, Month CIC Processing					
		NOTE: In current system there are various "reporting related" processes that are necessary for the end of day, end of week, and end of month. Many of these processes will be unnecessary in a new modern system built on a relational database because the system should be built so that the NAP staff can run reports with selection criteria to meet any date or time-span related reporting. The following requirements should be met within the system in this area.			
IS-ED-01	Map 10 To Be	The system must be able to show coupon totals by denominations over-all and also by client for any date range requested.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
Functional Area: Issuance					
Map 11 - Issuance – Monthly I&A Processing					
		NOTE: The NAP program has various ongoing procedures related to Issuance and Accountability. The most important requirements related to I & A are noted here.			
IS-MP-01	Map 11 To Be	System must provide be able to provide monthly FNS 256 Participation Report.			
IS-MP-02	Map 11 To Be	System must provide be able to provide weekly/monthly Accountability Report on NAP Food Coupons.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
Functional Area: Issuance					
Map 12 - Issuance – Accounting of Claims					
		NOTE: The NAP program needs to allow for the accounting of claims which come into the issuance department, both partial payments and payments in full.			
IS-AC-01	Map 12 To Be	System must have ability to receive claims, partial and full.			
IS-AC-02	Map 12 To Be	System must allow payments to Y2K Cash Receipts.			
IS-AC-03	Map 12 As Is	System must allow for monthly collection reports.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
Functional Area: Retailer					
Map 13 - Retailer – Relationship Life Cycle					
		NOTE: Today the process for becoming a certified retailer that can redeem NAP coupons is very manual. Although the process will still remain fairly manual and the retailer will continue to apply face-to-face with the staff of the NAP Retailer department, the new system should facilitate the process and automate where possible.			
RE-RL-01	Map 13 To Be	System must allow retailer information to be entered into system manually.			
RE-RL-02	Map 13 To Be	System should allow for attachment of all supporting documentation to the retailer's record.			
RE-RL-03	Map 13 To Be	Staff from the Retailer department must be able to access a retailer's application and all supporting documentation online in the system.			
RE-RL-04	Map 13 To Be	System must allow on-site compliance visits to be scheduled via system calendar.			
RE-RL-05	Map 13 To Be	System must allow contract agreement and authorization card to be produced and printed.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
Functional Area: Retailer					
Map 14 - Retailer – Redemption					
		NOTE: Coupon redemption is largely manual today and the majority of the process will continue to be manual as long as CNMI uses paper coupons as opposed to EBT. However the system does need to allow for collection and retention of redemption data.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
RE-RE-01	Map 14 To Be	System must allow redeemed coupon information to be entered manually.			
RE-RE-02	Map 14 To Be	System must allow ability to provide weekly and monthly NAP System Redemption Reports.			

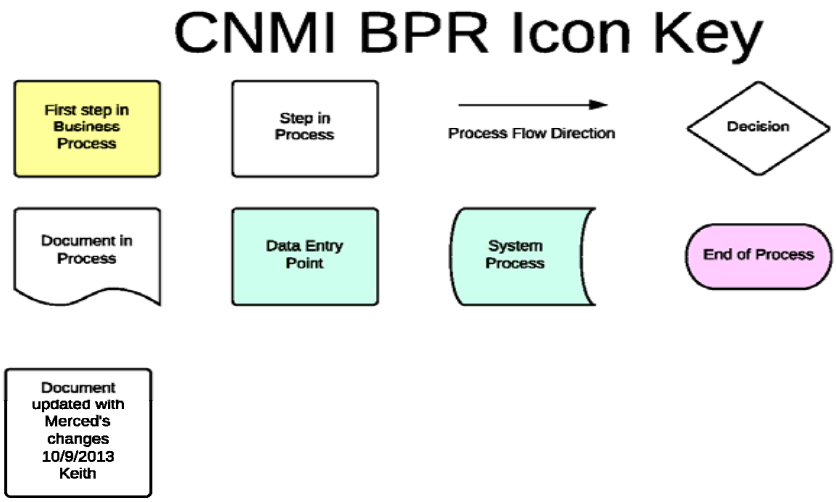
Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
Functional Area: Retailer					
Map 15 - Retailer – Compliance					
		NOTE: Once a retailer is approved they are periodically reviewed to ensure that they are still in compliance with the requirements they must maintain in order to remain an approved retailer. The system must support that compliance monitoring by meeting the functional requirements listed below.			
RE-CO-01	Map 15 To Be	System must be able to retrieve list of retailers with greater than 20% revenue from system database.			
RE-CO-02	Map 15 To Be	System must provide ongoing monthly and quarterly tracking of sanitary permits, business licenses, and online survey reports.			
RE-CO-03	Map 15 To Be	System must allow retailer to submit reporting data via portal.			
RE-CO-04	Map 15 To Be	System must allow ability to review and approve data submitted via retailer portal.			
RE-CO-05	Map 15 To Be	In the event that retailer is in compliance following a review, system must send a confirmation letter to the retailer.			
RE-CO-06	Map 15 To Be	In the event that retailer is not in compliance following a review, system must send a request for investigation to ME unit.			
RE-CO-07	Map 15 To Be	For monthly onsite inspection, system must queue in			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
		numerical order a list of 5 retailers to system task list.			
RE-CO-08	Map 15 To Be	System must provide data entry screen(s) for onsite inspection. Screen(s) must include recommendations/findings and entry to Contact Log.			

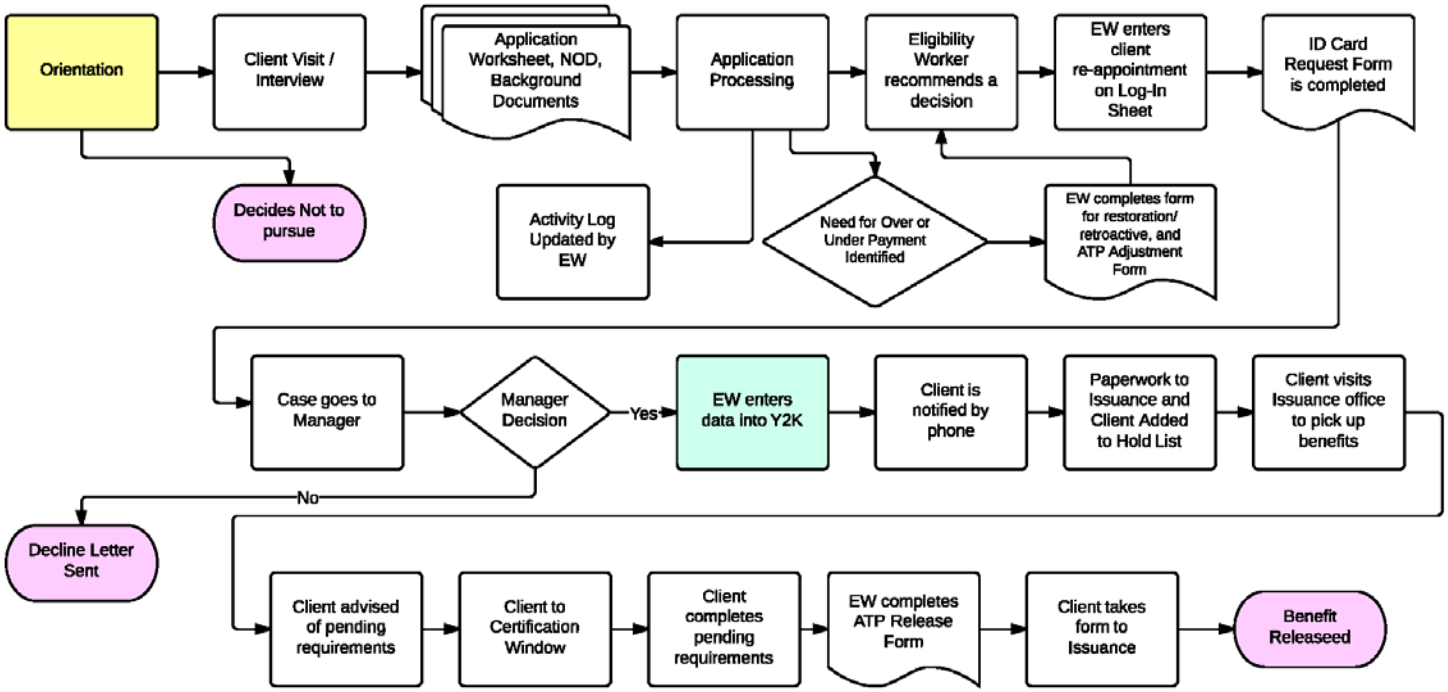
Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
Functional Area: ME Unit					
Map 16 - Retailer – ME Unit					
		NOTE: The Management Evaluation department is responsible for investigating all areas of the NAP program to ensure that the guidelines for the NAP program are being followed by the NAP program staff, the retailers, and the clients.			
ME-UN-01	Map 16 To Be	In the event of a structured client review, System must allow 5% of active cases to be populated in task list of ME Unit Administration.			
ME-UN-02	Map 16 To Be	In the event of a structured client review, System must provide ability to delegate cases to ME Unit reviewers.			
ME-UN-03	Map 16 To Be	In the event of a structured client review, System must allow ME Unit Reviewers to list discrepancies, tasks for others, contact log, and ticklers as needed into the system, and route for approval.			
ME-UN-04	Map 16 To Be	In the event of a structured client review, System must allow entry of EW response (second level to review), including agree/disagree and disagree code(s), and route for approval.			
ME-UN-05	Map 16 To Be	In the event of a structured client review, System must allow CU Supervisor (third level of review) to enter agree/disagree and notes, and route for approval.			

Reference	Map Reference	Requirement	Risk	Effort	Vendor Notes
ME-UN-06	Map 16 To Be	In the event of a structured client review, System must allow ME Unit Supervisor (fourth level of review) to document Corrective Action Plan in system and delegate via system.			
ME-UN-07	Map 16 To Be	In the event of a home visit or investigation for cause, System must allow connection to contact log, with codes for each step of the process. As findings actions are completed, they are logged to system.			
ME-UN-08	Map 16 To Be	In the event of a non-structured investigation, System must allow retrieval of history from ME ad-hoc reports and screens.			
ME-UN-09	Map 16 To Be	In the event of a non-structured investigation, System must allow the creation and follow-up of tickler items.			

APPENDIX C - CNMI FUNCTIONAL MAPS

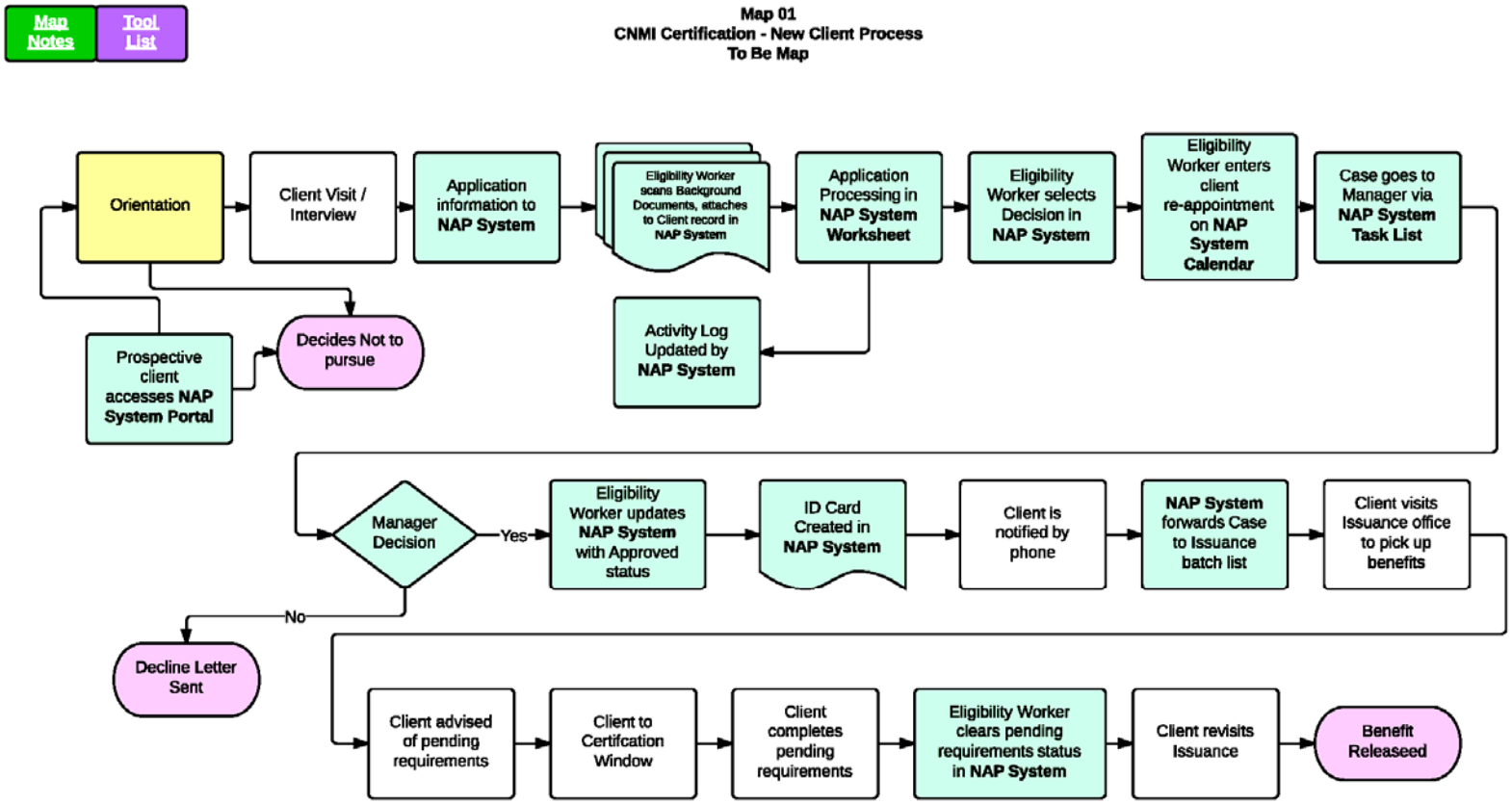


Map 01
CNMI Certification - New Client Process
As Is Map

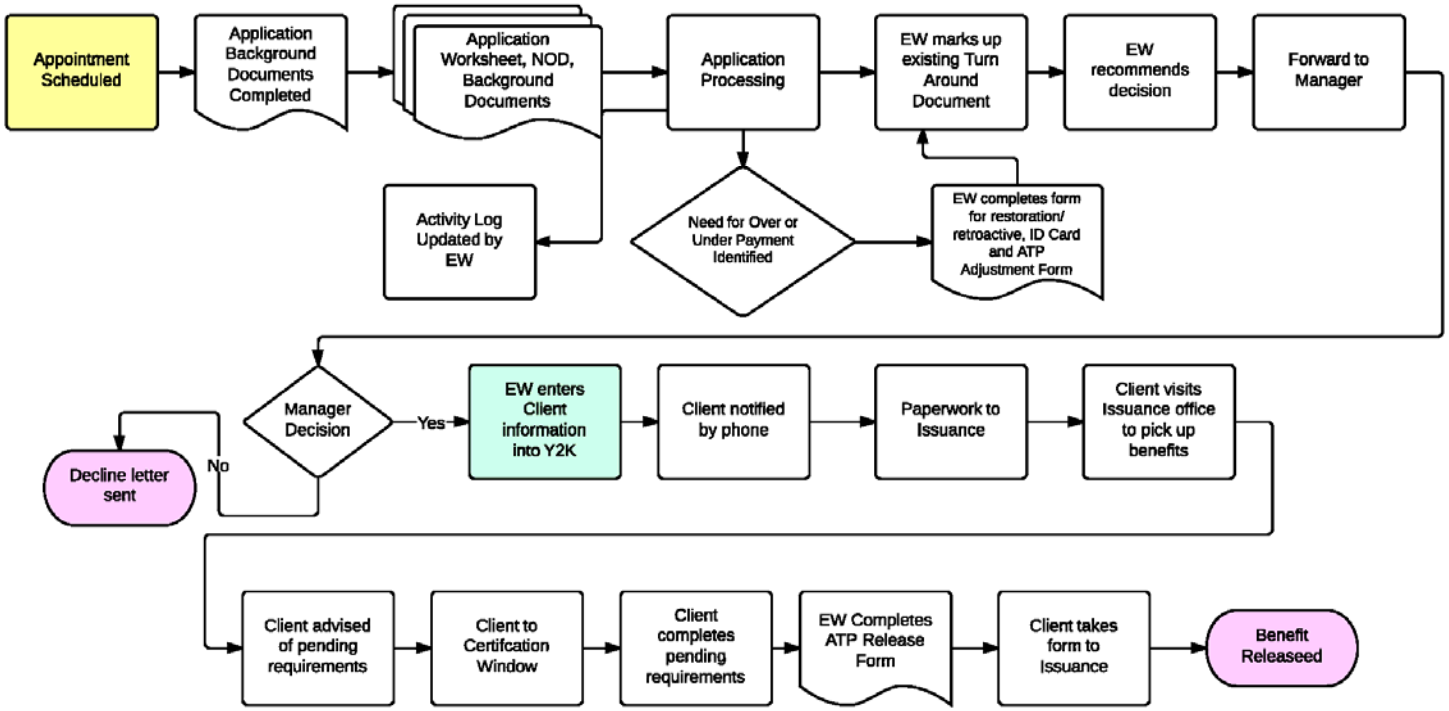


Process (As Is) - New Client

1. Orientation - Instructions on requirements, what they need to bring in and what is expected of them.
2. Client visits Certification office for interview and case review (during normal process this is two days after orientation).
3. Eligibility Worker turns in Application Worksheet, NOD, and other required background documents.
4. Applications is processed by Eligibility Worker.
5. Eligibility Worker updates Activity Log (Tracking Mechanism for all Eligibility Worker tasks).
6. Eligibility worker determines if there is a need for under or over-payment processing.
7. If under or over-payment processing is necessary, Eligibility Worker completes Restoration/Retroactive Form and ATP Adjustment Form.
8. Eligibility Worker recommends a decision.
9. Eligibility Worker enters client re-appointment on Log-In Sheet.
10. Eligibility Worker completes ID Request Form.
11. Case goes to Manager.
12. Manager reviews and completes decision.
13. If no, then Decline Letter is sent by mail.
14. If yes, EW enters data into Y2K.
15. Client is notified by phone.
16. Paperwork is delivered to Issuance and client is added to Hold List.
17. Clients goes to Issuance to pick up benefits.
18. Client is advised of pending requirements.
19. Client is sent to Certification window.
20. Client completes and submits pending requirements.
21. Eligibility Worker completes ATP Relearse Form.
22. Client takes form to Issuance.
23. *Benefits are released to client.*
24. Eligibility Worker Worker recommends a decision.
25. Case goes to Manager
26. Approve or decline.
27. Eligibility Worker enters client information into Y2K system.
28. Client is notified in one of two ways (policy requires that they receive notification by mail. However, they are currently being phoned. Then they receive by mail if NOT eligible)
29. If eligible they will either receive notice and ATP or just notice. If ONLY Notice, additional conditions must be met.
30. Client is added to Hold List if additional conditions exist.
31. If not eligible, notified by phone and mail.
32. Paperwork goes to Benefit Issuance and client goes to Benefit Issuance to pick up their ATP and benefits.
33. Form 20 (Appointment List) is completed and stays in this office.


Map Notes
Tool List
Map 01
CNMI Certification - New Client Process
To Be Map
Orientation
Client Visit / Interview
Application information to NAP System
Eligibility Worker scans Background Documents, attaches to Client record in NAP System
Application Processing in NAP System Worksheet
Eligibility Worker selects Decision in NAP System
Eligibility Worker enters client re-appointment on NAP System Calendar
Case goes to Manager via NAP System Task List
Prospective client accesses NAP System Portal
Decides Not to pursue
Activity Log Updated by NAP System
Manager Decision
Yes
No
Eligibility Worker updates NAP System with Approved status
ID Card Created in NAP System
Client is notified by phone
NAP System forwards Case to Issuance batch list
Client visits Issuance office to pick up benefits
Decline Letter Sent
Client advised of pending requirements
Client to Certifcation Window
Client completes pending requirements
Eligibility Worker clears pending requirements status in NAP System
Client revisits Issuance
Benefit Releaseed

Map 02
CNMI Certification - Recertification Process
As Is Map

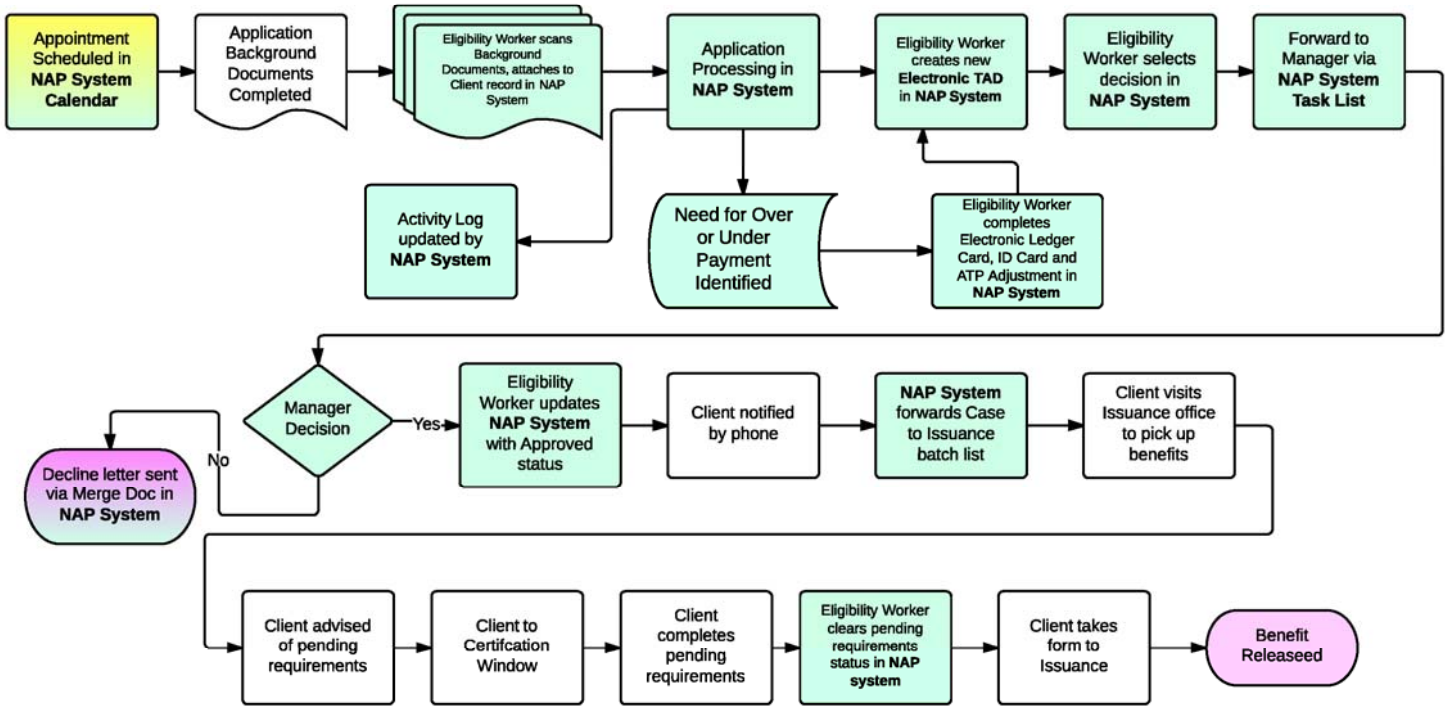


Process (As Is) - Recertification

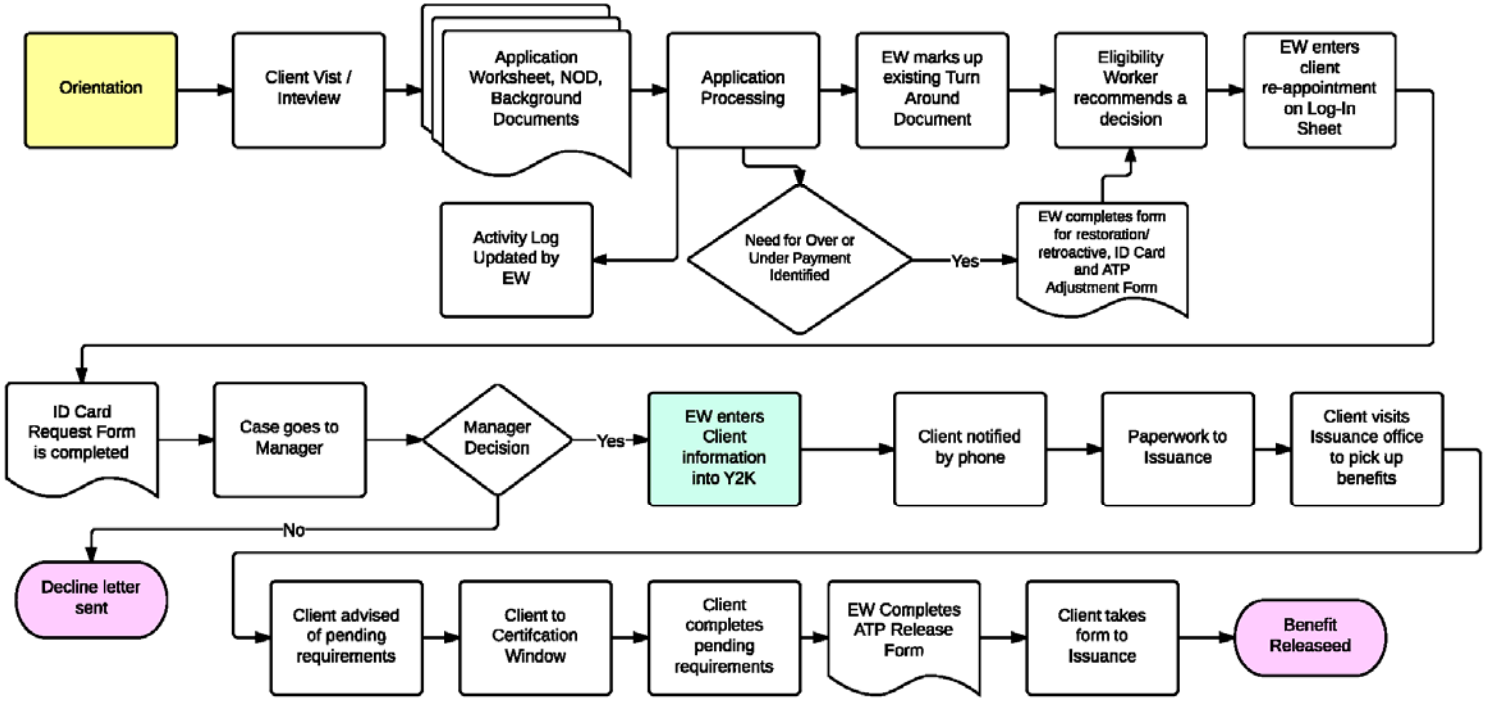
1. Client visits Certification office for interview and case review.
2. Client turns in necessary forms and paperwork.
3. EW (Eligibility Worker) completes Application Worksheet, NOD and other background documents as needed.
4. Application is processed by EW.
5. EW determines if there is a need for under of over-payment processing.
6. If under or over-payment processing is necessary, EW completes Restoration/Retroactive Form and ATP Adjustment Form.
7. EW recommends a decision
8. EW marks up existing TAD (Turn Around Document)
9. EW enters client re-appointment on Log-In Sheet
10. Case goes to Manager
11. Manager reviews and completes decision
12. If no, then Decline Letter is sent by mail
13. If yes, EW enters data in to Y2K
14. Client is notified by phone.
15. Paperwork is delivered to Issuance and client is added to Hold List (if items pending).
16. Client goes to issuance to pick up benefits
17. Client is advised of pending requirements.
18. Client is sent to Certification window
19. Client completes and submits pending requirements.
20. EW completes the ATP Release Form
21. Client takes form to Issuance
22. Benefits are released to Client

Map Notes | Tool List

Map 02
CNMI Certification - Recertification Process
To Be Map

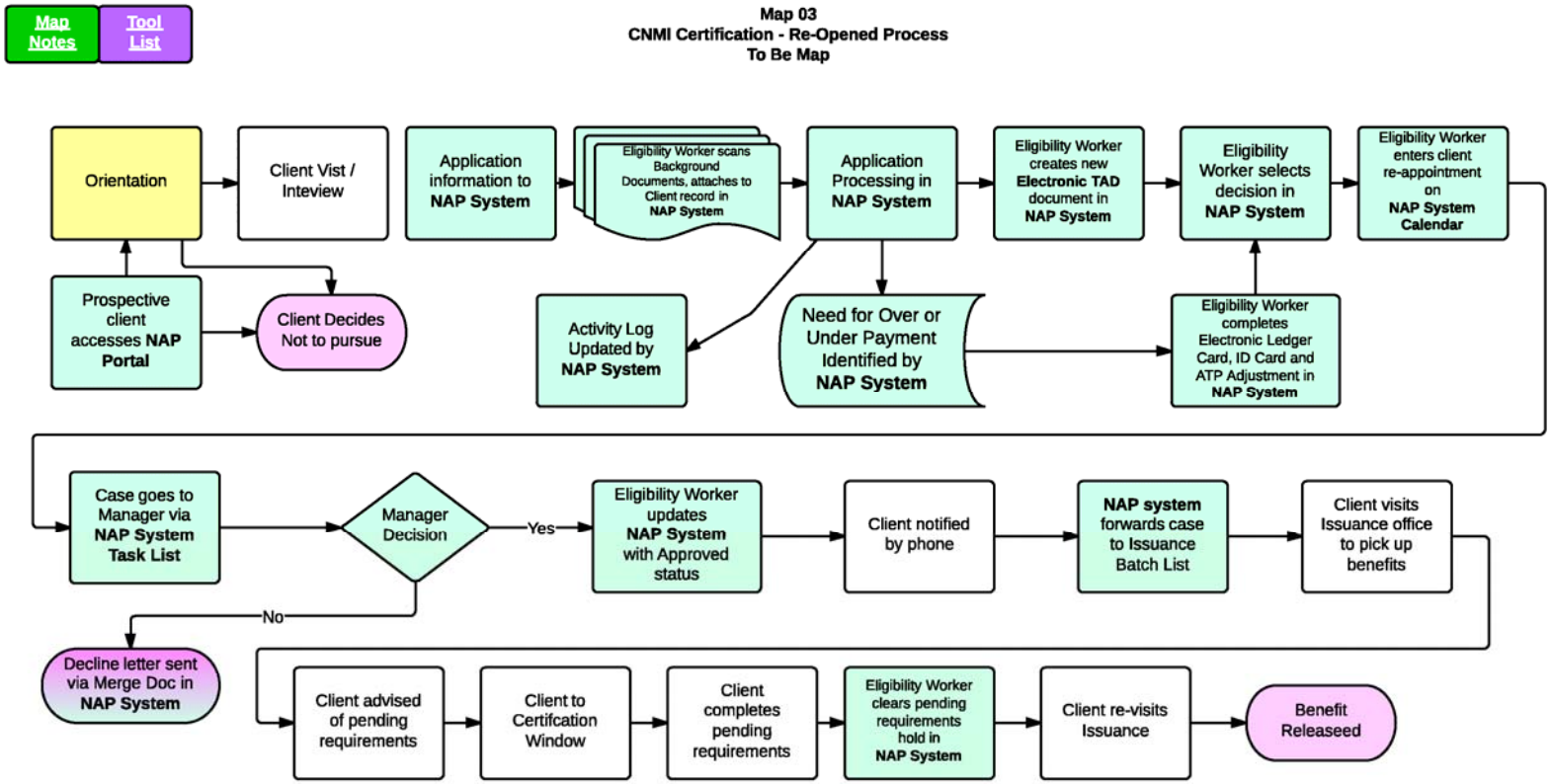


Map 03
CNMI Certification - Re-Opened Process
As Is Map

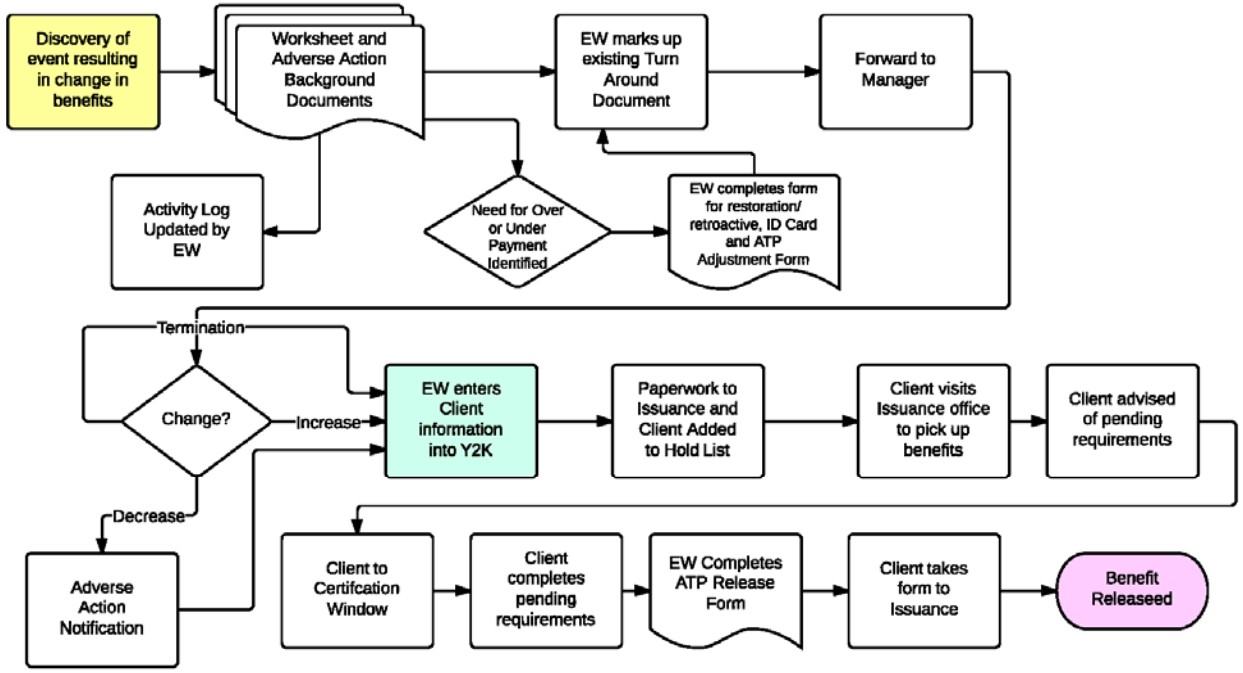


Process (As Is) - Re-Opened Client

1. Orientation - Instructions on requirements, what they need to bring in and what is expected of them.
2. Client visits Certification office for interview and case review.
3. Eligibility worker turns in Application Worksheet, NOD, and other required background documents.
4. Applications is processed by Eligibility Worker.
5. Eligibility Worker marks up existing Turn Around Document.
6. Eligibility Worker updates Activity Log (Tracking Mechanism for all Eligibility Worker tasks).
7. Eligibility worker determines if there is a need for under or over-payment processing.
8. If under or over-payment processing is necessary, Eligibility Worker completes Restoration/Retroactive Form and ATP Adjustment Form.
9. Eligibility Worker recommends a decision.
10. Eligibility Worker enters client re-appointment on Log-In Sheet.
11. Eligibility Worker completes ID Request Form.
12. Case goes to Manager.
13. Manager reviews and completes decision.
14. If no, then Decline Letter is sent by mail.
15. If yes, EW enters data into Y2K.
16. Client is notified by phone.
17. Paperwork is delivered to Issuance and client is added to Hold List.
18. Clients goes to Issuance to pick up benefits.
19. Client is advised of pending requirements.
20. Client is sent to Certification window.
21. Client completes and submits pending requirements.
22. Eligibility Worker completes ATP Relearse Form.
23. Client takes form to Issuance.
24. Benefits are released to client.


Map Notes
Tool List
Map 03
CNMI Certification - Re-Opened Process
To Be Map
Orientation
Client Vist / Inteview
Application information to NAP System
Eligibility Worker scans Background Documents, attaches to Client record in NAP System
Application Processing in NAP System
Eligibility Worker creates new Electronic TAD document in NAP System
Eligibility Worker selects decision in NAP System
Eligibility Worker enters client re-appointment on NAP System Calendar
Prospective client accesses NAP Portal
Client Decides Not to pursue
Activity Log Updated by NAP System
Need for Over or Under Payment Identified by NAP System
Eligibility Worker completes Electronic Ledger Card, ID Card and ATP Adjustment in NAP System
Case goes to Manager via NAP System Task List
Manager Decision
Yes
Eligibility Worker updates NAP System with Approved status
Client notified by phone
NAP system forwards case to Issuance Batch List
Client visits Issuance office to pick up benefits
No
Decline letter sent via Merge Doc in NAP System
Client advised of pending requirements
Client to Certifcation Window
Client completes pending requirements
Eligibility Worker clears pending requirements hold in NAP System
Client re-visits Issuance
Benefit Releaseed

Map 04
CNMI Certification - Adjustment Process
As Is Map

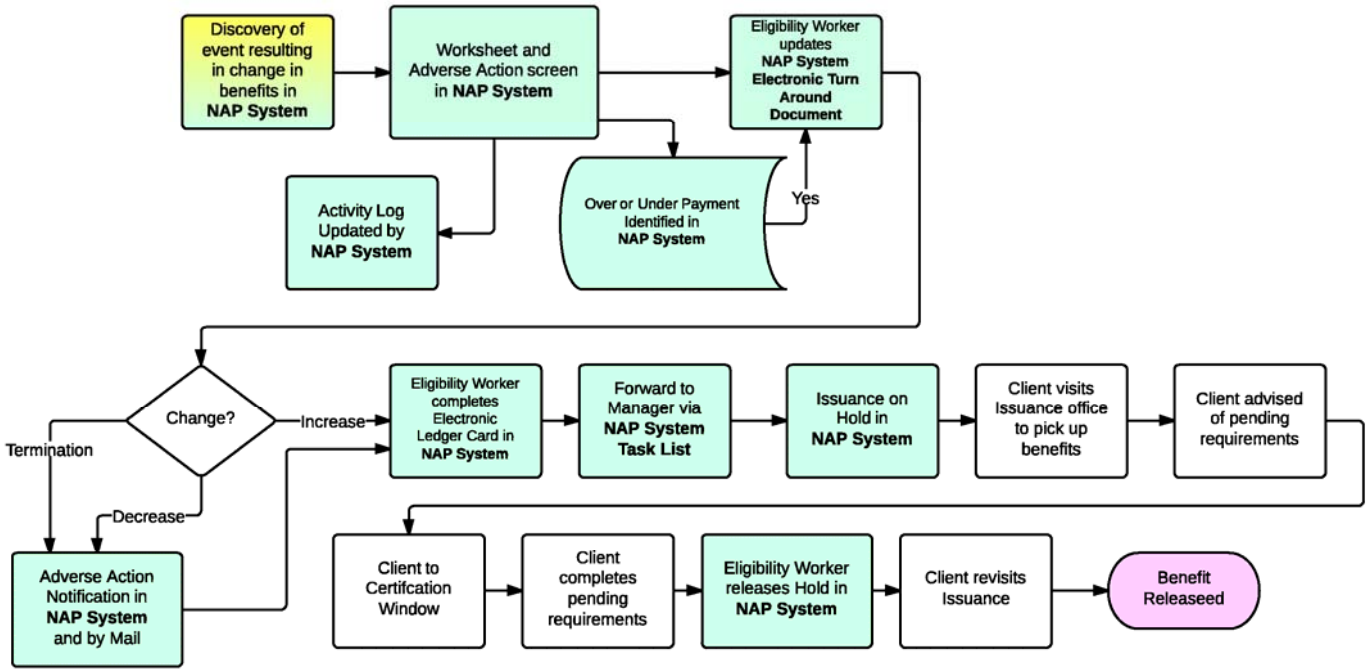


Process (As Is) - Adjustment

1. Discovery of event that causes change in benefits,then Decline Letter is sent by mail.
2. Eligibility Worker completes Adverse Action Form and gathers with Background Documents.
3. Eligibility Worker updates Activity Log.
4. Need for Under or Over Payment Identified.
5. Eligibility completes form for restoration/retroactive, ID Card Form, and ATP Adjustment Form.
6. Eligibility marks up existing Turn Around Document.
7. Turn Around Document forwarded to Manager.
8. Change action determined.
9. If Termination or Increase to to step 11.
10. If Decrease, Adverse Action Notification created.
11. Eligibility Worker enters Client information into Y2K.
12. Paperwork to Issuance and Client Added to Hold List.
13. Client visits Issuance to pick up benefits.
14. Client advised of pending requirements.
15. Client is sent to Certification window.
16. Client completes pending requirements.
17. Eligibility Worker completes ATP Release Form.
18. Client takes form to Issuance.
19. Benefits are released to Client.

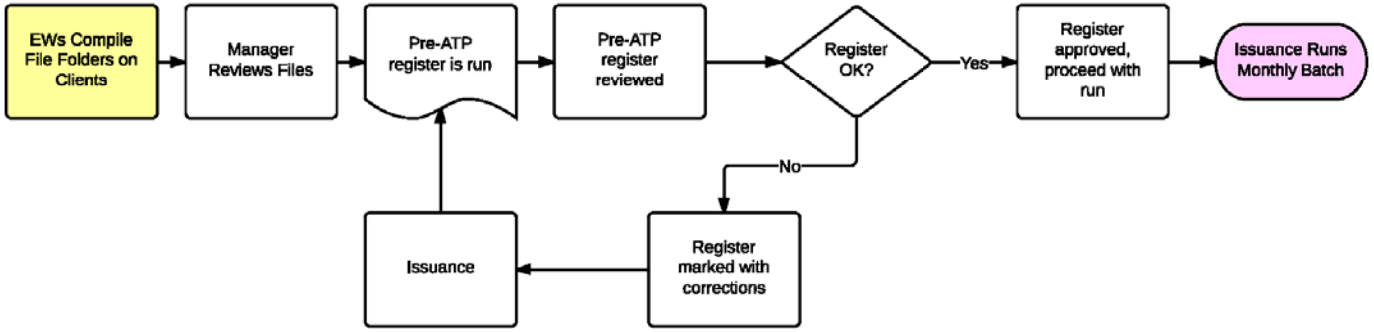
Map Notes | Tool List

Map 04
CNMI Certification - Adjustment Process
To Be Map



Map 05
CNMI Certification - Monthly Batch Run Process
As Is Map

Note: This process must be completed FOUR business days before end of month.

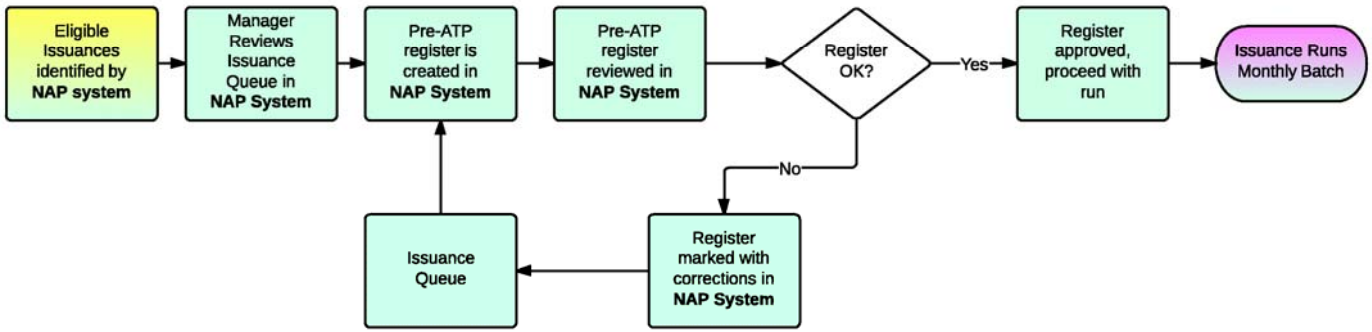


Process (As Is) Monthly Batch Run

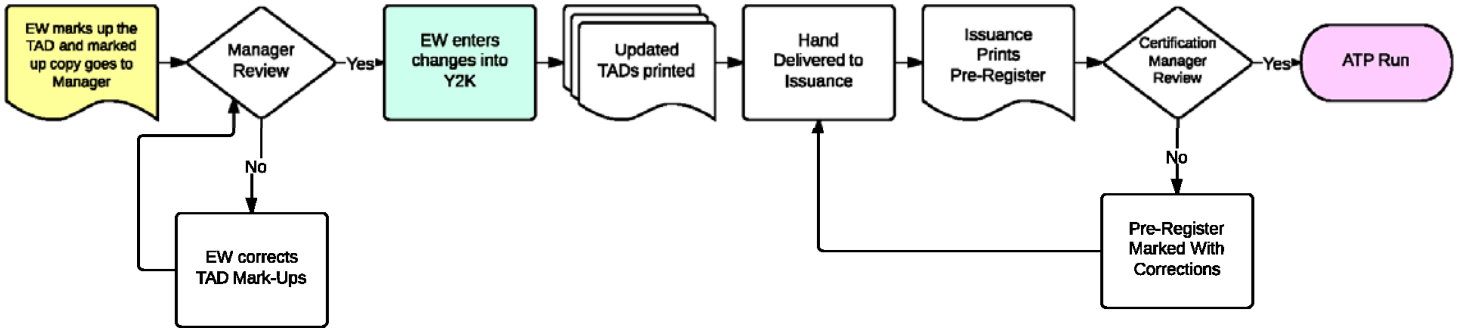
1. EW (Eligibility Worker) compiles file folders on clients.
2. Manager reviews all files and verifies that each file is complete and accurate.
3. Pre-ATP Register is run (Test Run of Checks) by Issuance.
4. Certification Manager reviews the Pre-ATP Register.
5. If errors are found then corrections are marked up and returned to Issuance.
6. New register is run for Manager.
7. If Register is good, Manager approves and sends back to Issuance for check run.
8. Issuance Runs Monthly Batch.

Map Notes | Tool List

Map 05
CNMI Certification - Monthly Batch Run Process
To Be Map



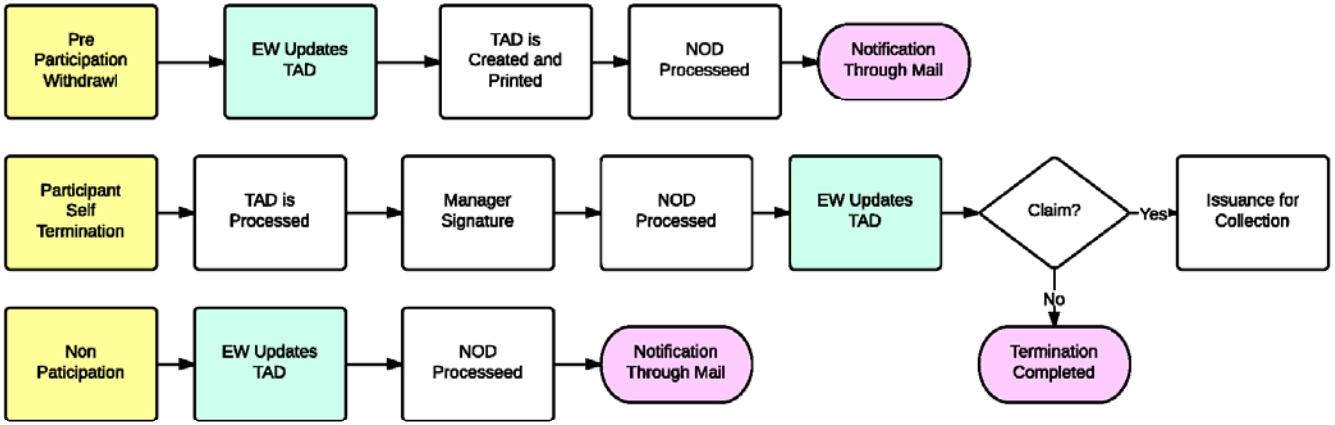
NOTE: This process will NOT exist in future and thus there is no corresponding To Be Map
CNMI Certification - OTC Batch Run Process
As Is Map



Process (As Is) OTC Batch Run

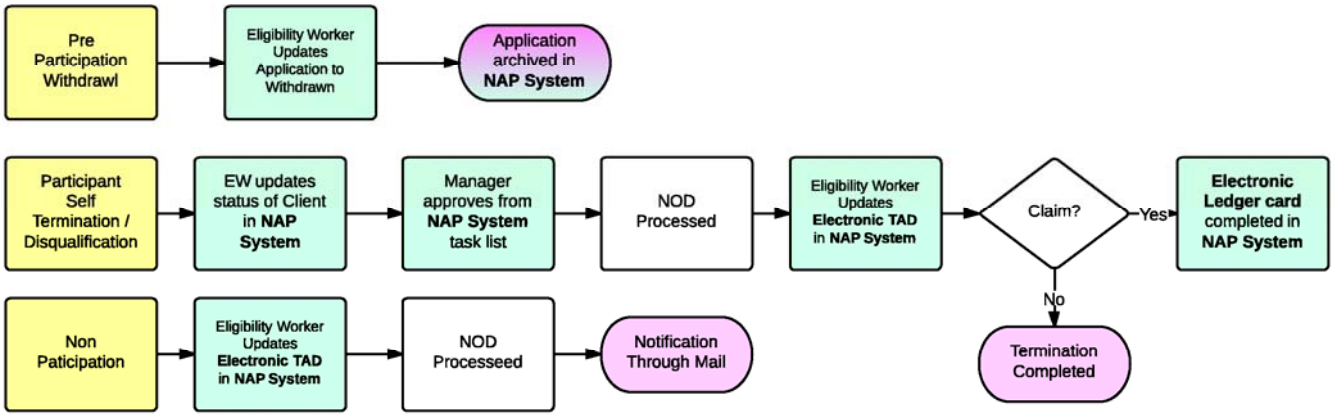
1. Eligibility Worker marks up the Turn Around Document (TAD) and marked up copy is given to Manager.
2. If approved returned to Eligibility Worker to enter into Y2K.
3. If dis-approved returned to Eligibility Worker for corrections.
4. Approved and Eligibility Worker enters.
5. Updated TADs are printed and physically carried to Issuance as a batch.
6. Issuance prints a pre-register and provides to Certification Manager.
7. Certification Manager approves and sends back to Issuance for check run.

Map 06
CNMI Certification - Termination
As Is Map

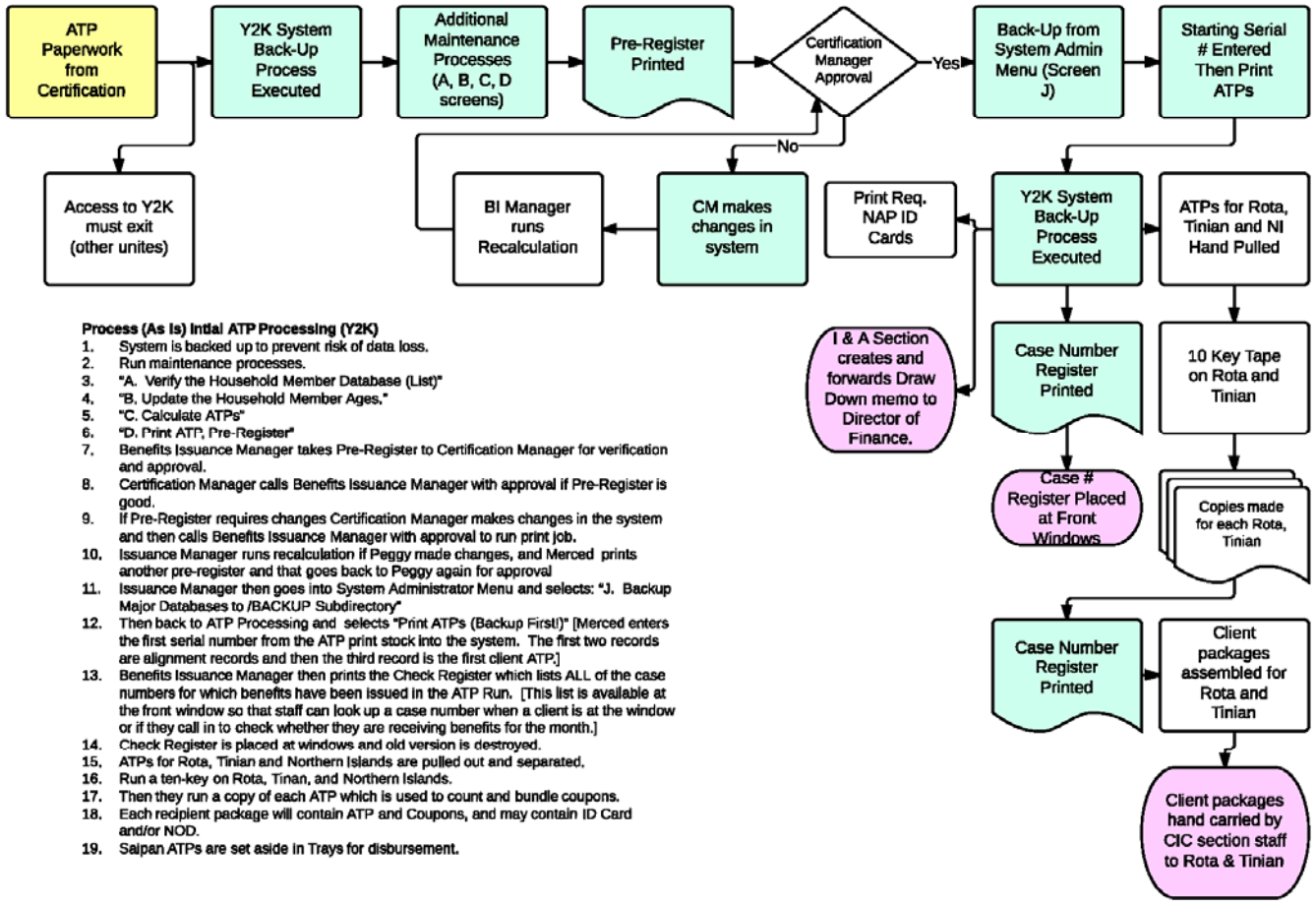


Map Notes | Tool List

Map 06
CNMI Certification - Termination
To Be Map

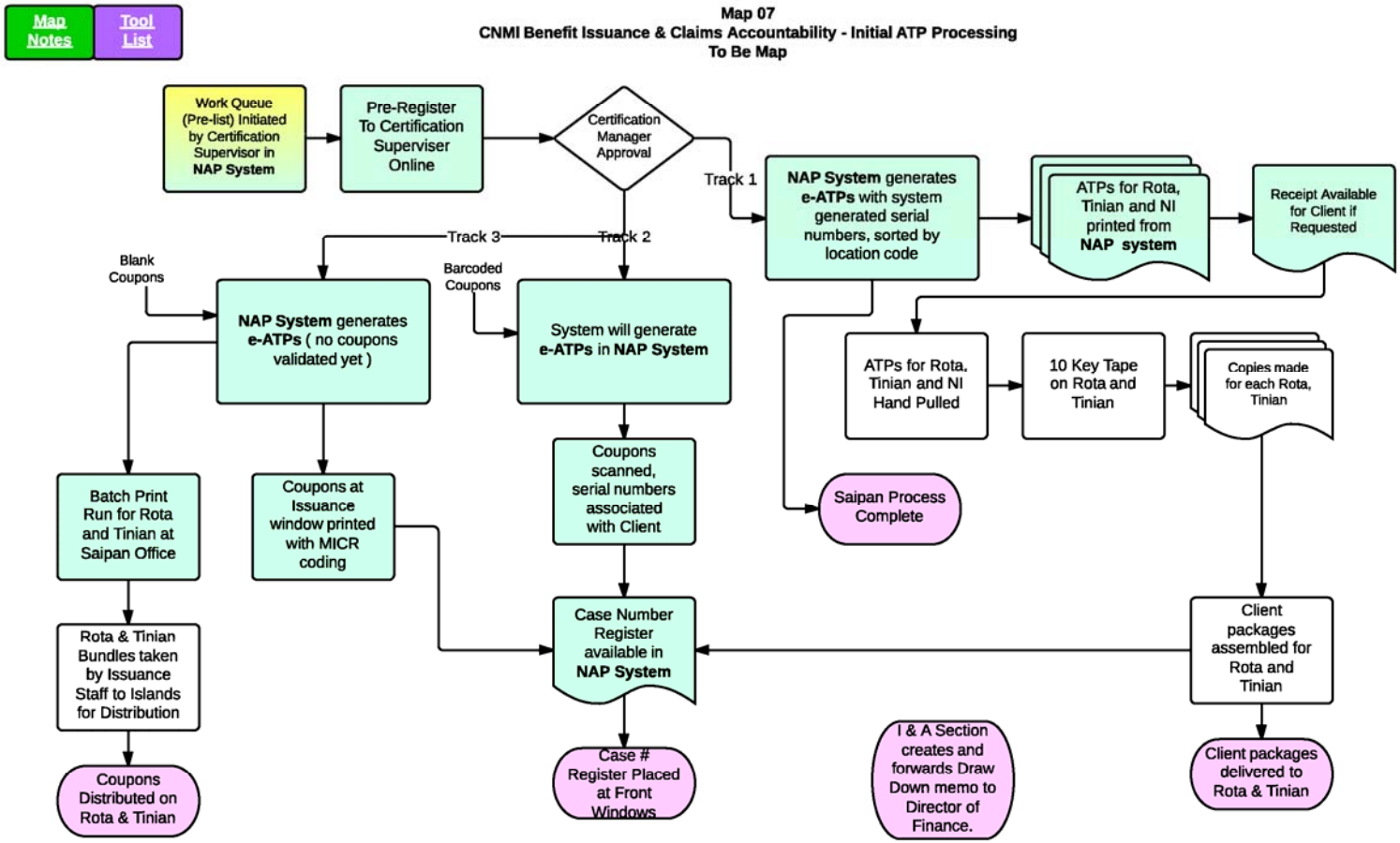


Map 07
CNMI Benefit Issuance & Claims Accountability - Inital ATP Processing (Y2K)
As Is Map

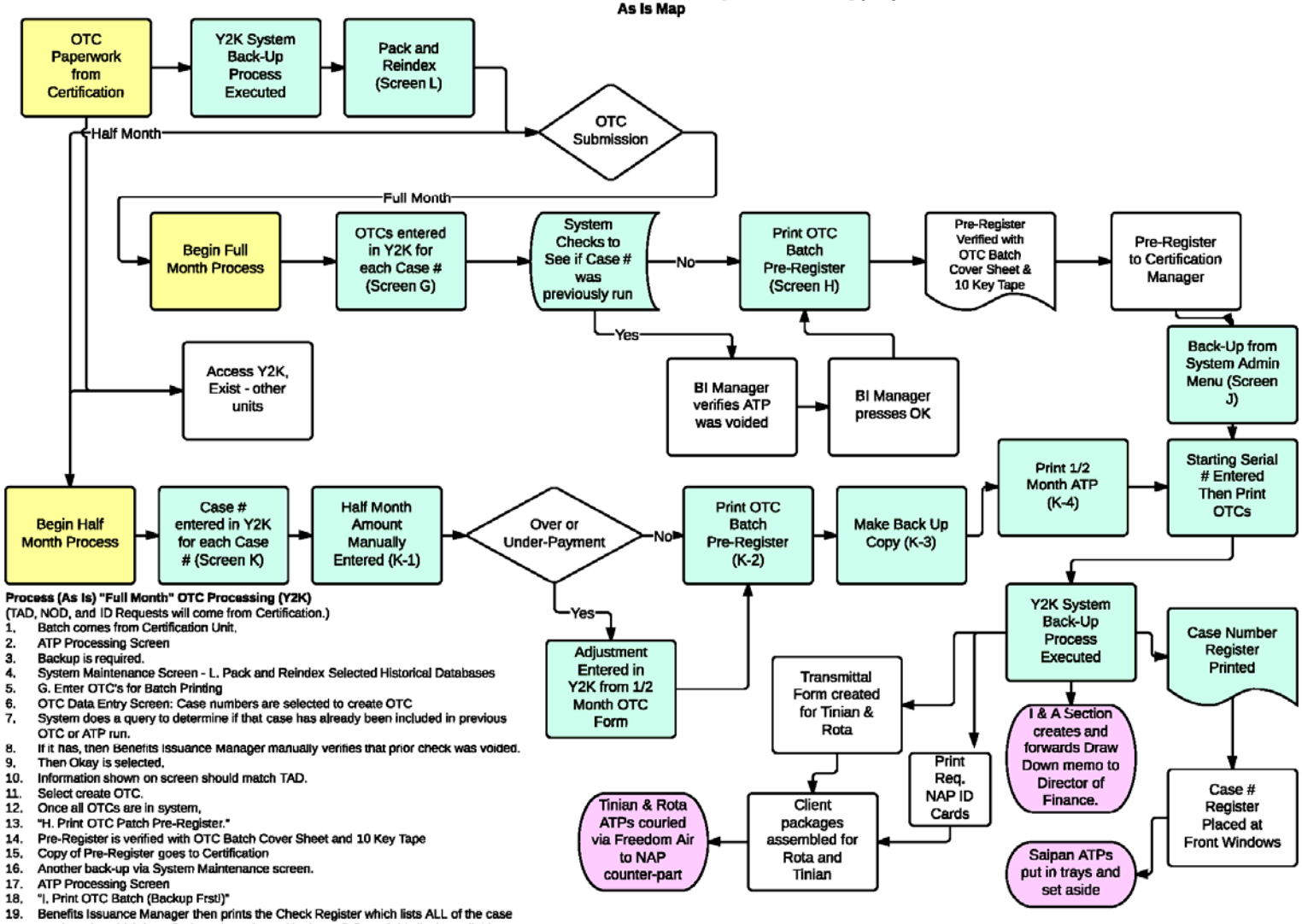


Process (As Is) Intial ATP Processing (Y2K)

1. System is backed up to prevent risk of data loss.
2. Run maintenance processes.
3. "A. Verify the Household Member Database (List)"
4. "B. Update the Household Member Ages."
5. "C. Calculate ATPs"
6. "D. Print ATP, Pre-Register"
7. Benefits Issuance Manager takes Pre-Register to Certification Manager for verification and approval.
8. Certification Manager calls Benefits Issuance Manager with approval if Pre-Register is good.
9. If Pre-Register requires changes Certification Manager makes changes in the system and then calls Benefits Issuance Manager with approval to run print job.
10. Issuance Manager runs recalculation if Peggy made changes, and Merced prints another pre-register and that goes back to Peggy again for approval
11. Issuance Manager then goes into System Administrator Menu and selects: "J. Backup Major Databases to /BACKUP Subdirectory"
12. Then back to ATP Processing and selects "Print ATPs (Backup First!)" [Merced enters the first serial number from the ATP print stock into the system. The first two records are alignment records and then the third record is the first client ATP.]
13. Benefits Issuance Manager then prints the Check Register which lists ALL of the case numbers for which benefits have been issued in the ATP Run. [This list is available at the front window so that staff can look up a case number when a client is at the window or if they call in to check whether they are receiving benefits for the month.]
14. Check Register is placed at windows and old version is destroyed.
15. ATPs for Rota, Tinian and Northern Islands are pulled out and separated.
16. Run a ten-key on Rota, Tinan, and Northern Islands.
17. Then they run a copy of each ATP which is used to count and bundle coupons.
18. Each recipient package will contain ATP and Coupons, and may contain ID Card and/or NOD.
19. Saipan ATPs are set aside in Trays for disbursement.


Map Notes
Tool List
Map 07
CNMI Benefit Issuance & Claims Accountability - Initial ATP Processing
To Be Map
Work Queue (Pre-list) Initiated by Certification Supervisor in NAP System
Pre-Register To Certification Superviser Online
Certification Manager Approval
Track 1
Track 2
Track 3
NAP System generates e-ATPs with system generated serial numbers, sorted by location code
ATPs for Rota, Tinian and NI printed from NAP system
Receipt Available for Client if Requested
Blank Coupons
Barcoded Coupons
NAP System generates e-ATPs (no coupons validated yet)
System will generate e-ATPs in NAP System
ATPs for Rota, Tinian and NI Hand Pulled
10 Key Tape on Rota and Tinian
Copies made for each Rota, Tinian
Saipan Process Complete
Batch Print Run for Rota and Tinian at Saipan Office
Coupons at Issuance window printed with MICR coding
Coupons scanned, serial numbers associated with Client
Case Number Register available in NAP System
Client packages assembled for Rota and Tinian
Rota & Tinian Bundles taken by Issuance Staff to Islands for Distribution
Coupons Distributed on Rota & Tinian
Case # Register Placed at Front Windows
I & A Section creates and forwards Draw Down memo to Director of Finance.
Client packages delivered to Rota & Tinian

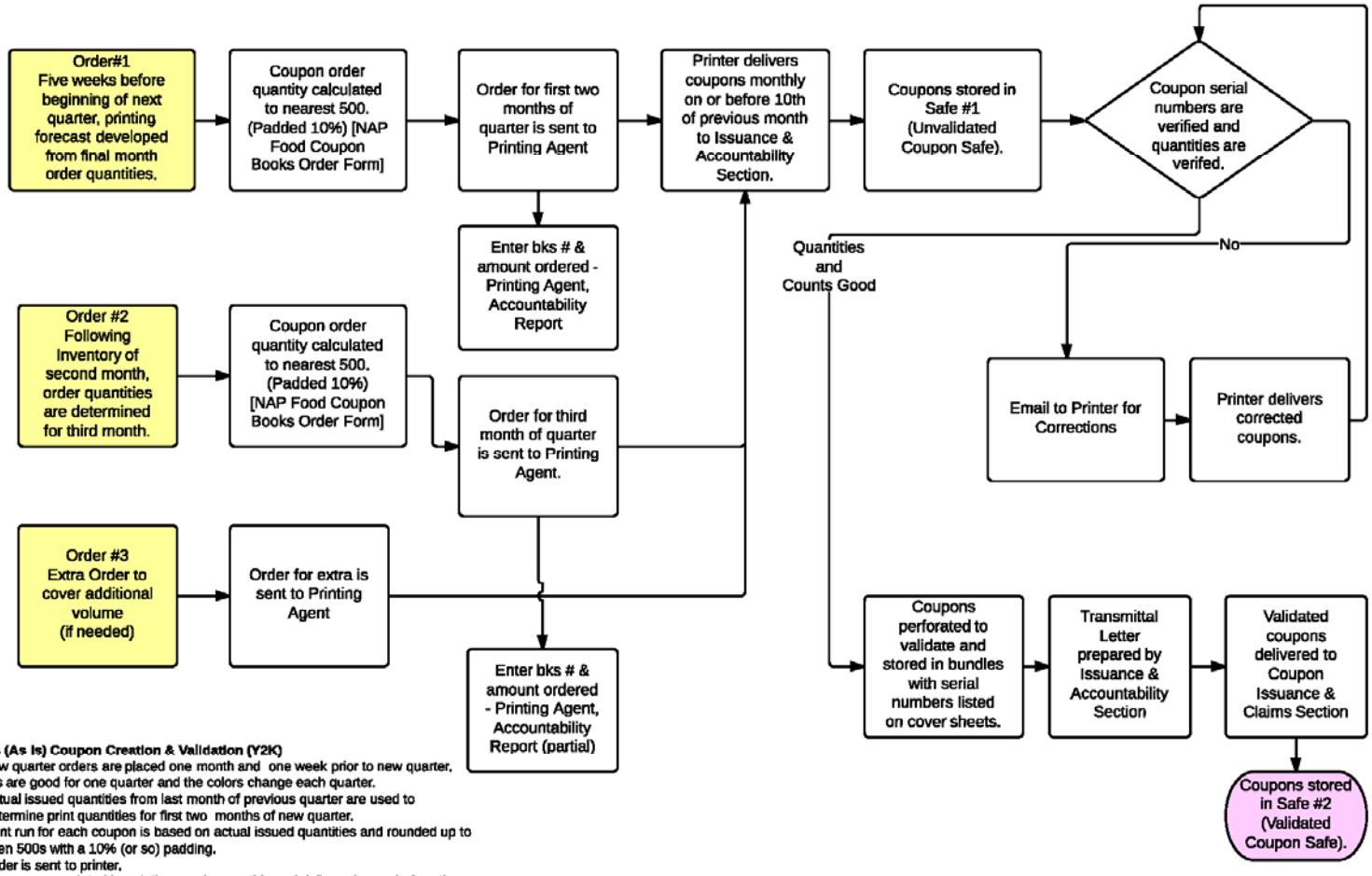
NOTE: This process will NOT exist in future and thus there is no corresponding To Be Map
CNMI Benefit Issuance & Claims Accountability - OTC Processing (Y2K)
As Is Map



Process (As Is) "Full Month" OTC Processing (Y2K)
(TAD, NOD, and ID Requests will come from Certification.)

1. Batch comes from Certification Unit.
2. ATP Processing Screen
3. Backup is required.
4. System Maintenance Screen - L. Pack and Reindex Selected Historical Databases
5. G. Enter OTC's for Batch Printing
6. OTC Data Entry Screen: Case numbers are selected to create OTC
7. System does a query to determine if that case has already been included in previous OTC or ATP run.
8. If it has, then Benefits Issuance Manager manually verifies that prior check was voided.
9. Then Okay is selected.
10. Information shown on screen should match TAD.
11. Select create OTC.
12. Once all OTCs are in system,
13. "H. Print OTC Patch Pre-Register."
14. Pre-Register is verified with OTC Batch Cover Sheet and 10 Key Tape
15. Copy of Pre-Register goes to Certification
16. Another back-up via System Maintenance screen.
17. ATP Processing Screen
18. "I. Print OTC Batch (Backup Frst!)"
19. Benefits Issuance Manager then prints the Check Register which lists ALL of the case numbers for which benefits have been issued in the ATP Run. [This list is available at the front window so that staff can look up a case number when a client is at the window or if they call in to check whether they are receiving benefits for the month.]
20. Check Register is placed at windows and old version is destroyed.

Map 08
CNMI Benefit Issuance & Claims Accountability - Coupon Ordering & Validation (Y2K)
As Is Map

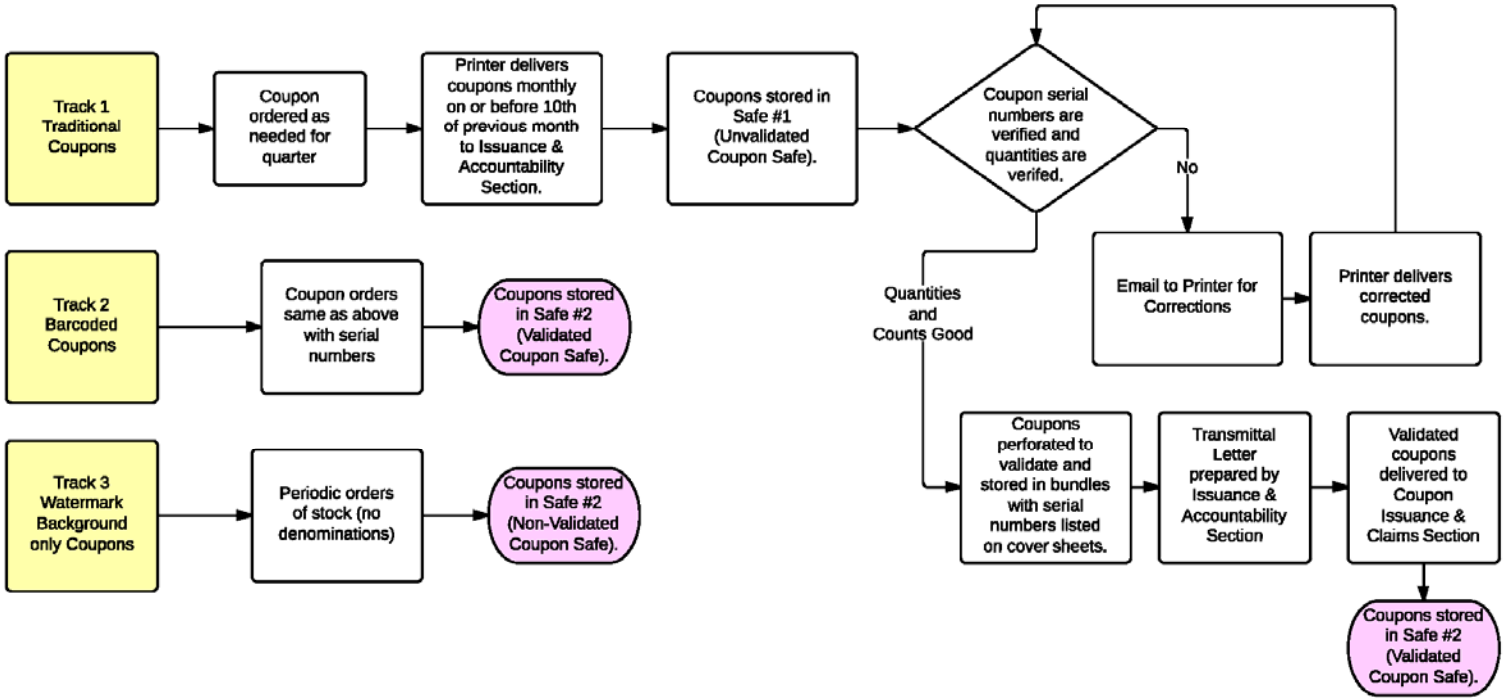


Process (As Is) Coupon Creation & Validation (Y2K)
Initial new quarter orders are placed one month and one week prior to new quarter. Coupons are good for one quarter and the colors change each quarter.

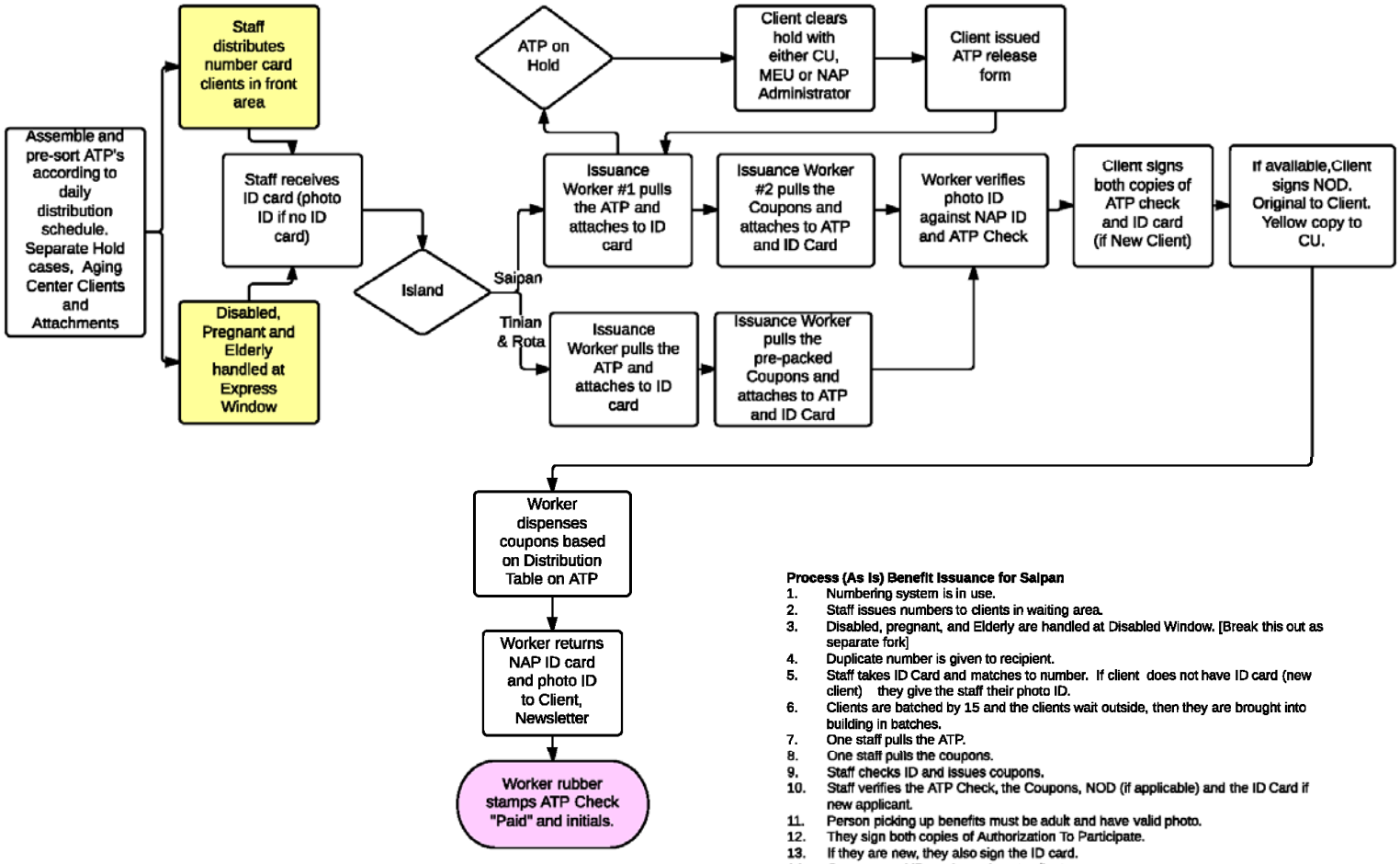
1. Actual issued quantities from last month of previous quarter are used to determine print quantities for first two months of new quarter.
2. Print run for each coupon is based on actual issued quantities and rounded up to even 500s with a 10% (or so) padding.
3. Order is sent to printer.
4. Coupons are printed by printing vendor monthly and delivered on or before the 10th of the month prior to issuance.
5. Coupons are punched with holes to make them valid before they are issued to clients.

Map Notes | Tool List

Map 08
CNMI Benefit Issuance & Claims Accountability - Coupon Ordering & Validation (Y2K)
To Be Map



Map 09
CNMI Benefit Issuance & Claims Accountability - Benefit Issuance (for Saipan,Tinian & Rota)
As Is Map

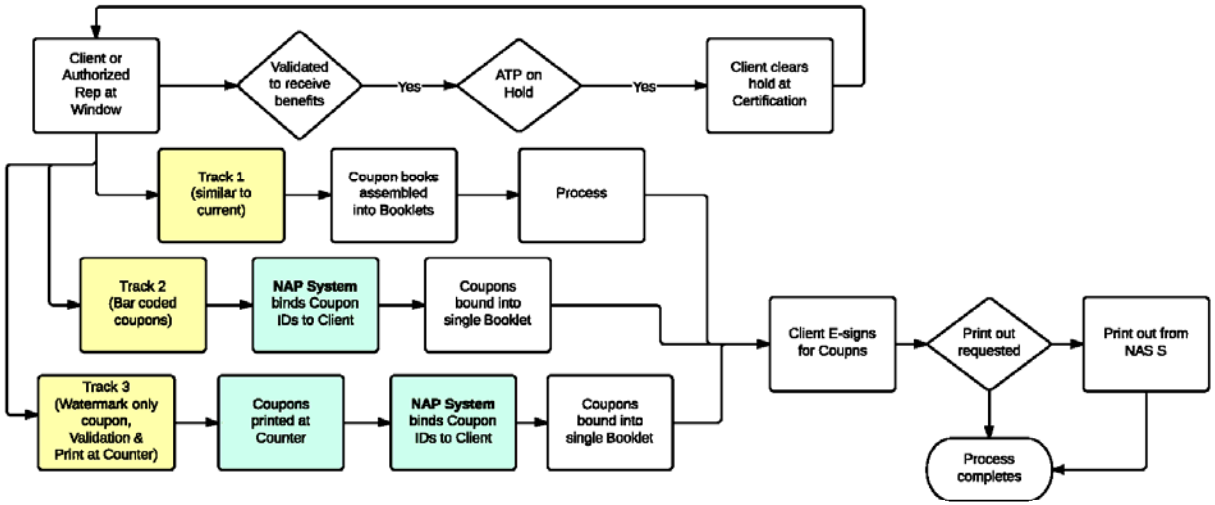


Process (As Is) Benefit Issuance for Saipan

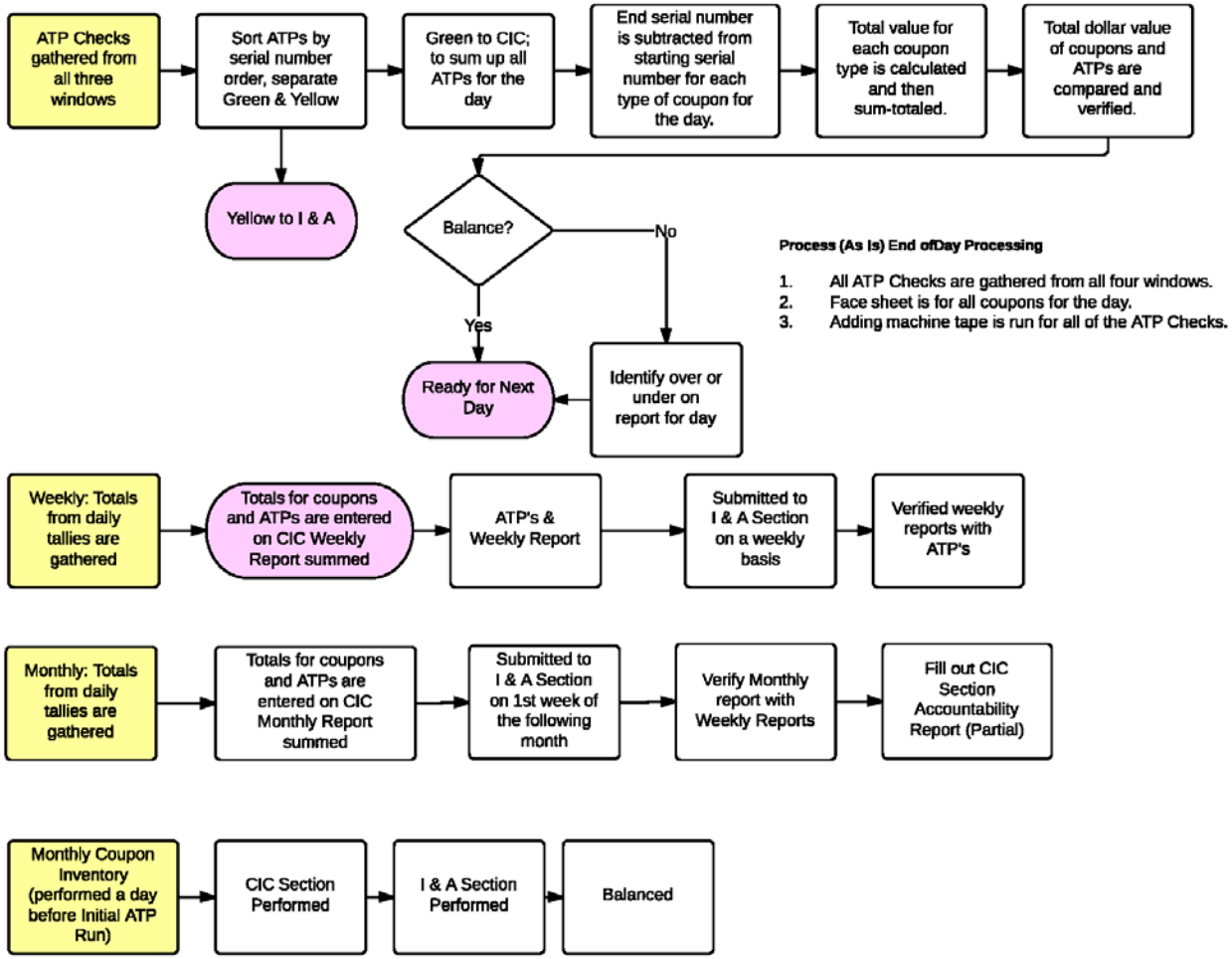
1. Numbering system is in use.
2. Staff issues numbers to clients in waiting area.
3. Disabled, pregnant, and Elderly are handled at Disabled Window. [Break this out as separate fork]
4. Duplicate number is given to recipient.
5. Staff takes ID Card and matches to number. If client does not have ID card (new client) they give the staff their photo ID.
6. Clients are batched by 15 and the clients wait outside, then they are brought into building in batches.
7. One staff pulls the ATP.
8. One staff pulls the coupons.
9. Staff checks ID and issues coupons.
10. Staff verifies the ATP Check, the Coupons, NOD (if applicable) and the ID Card if new applicant.
11. Person picking up benefits must be adult and have valid photo.
12. They sign both copies of Authorization To Participate.
13. If they are new, they also sign the ID card.
14. Coupons and ID card are given to client.
15. ATP Check is stamped "Paid."

Map Notes | Tool List

Map 09
CNMI Benefit Issuance & Claims Accountability - Benefit Issuance (for Saipan,Tinian & Rota)
To Be Map



Map 10
CNMI Benefit Issuance & Claims Accountability - End of Day, Week, Month CIC Processes
As Is Map

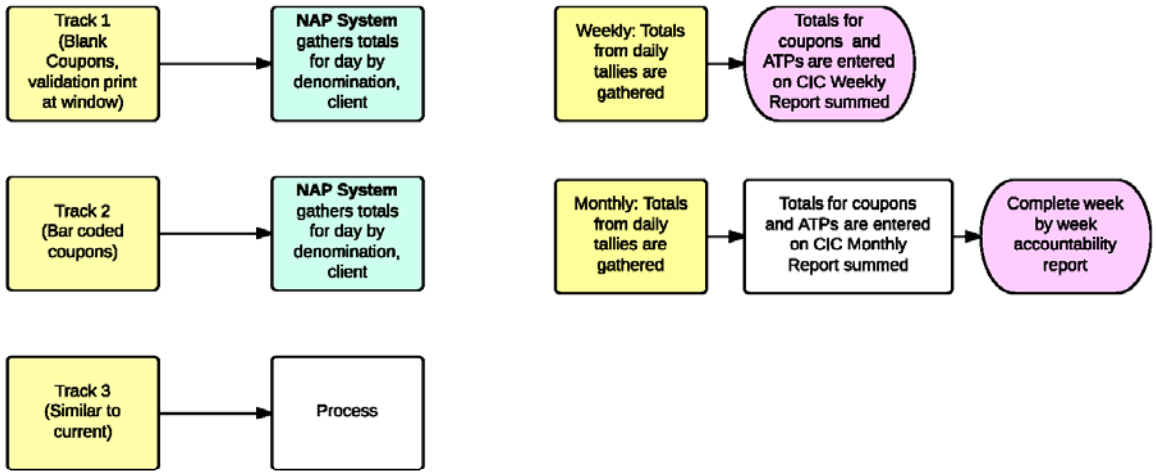


Process (As Is) End ofDay Processing

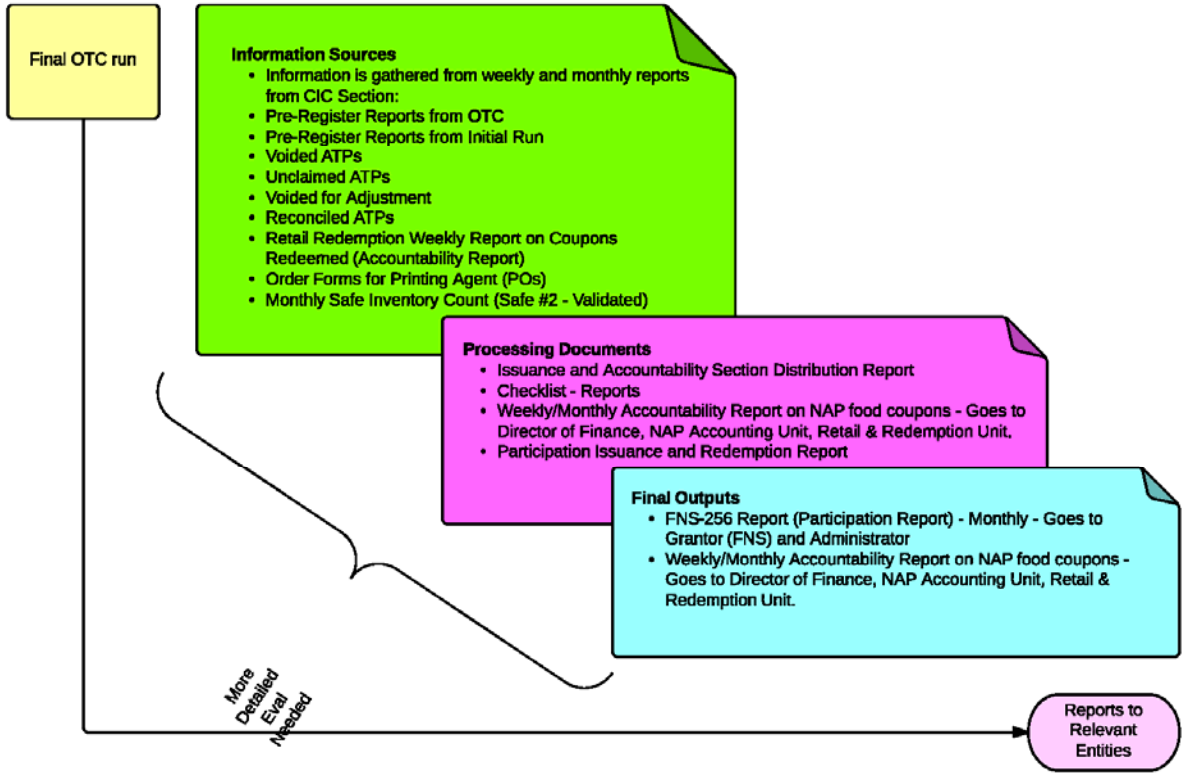
1. All ATP Checks are gathered from all four windows.
2. Face sheet is for all coupons for the day.
3. Adding machine tape is run for all of the ATP Checks.

Map Notes | Tool List

Map 10
CNMI Benefit Issuance & Claims Accountability - End of Day, Week, Month CIC Processes
To Be Map

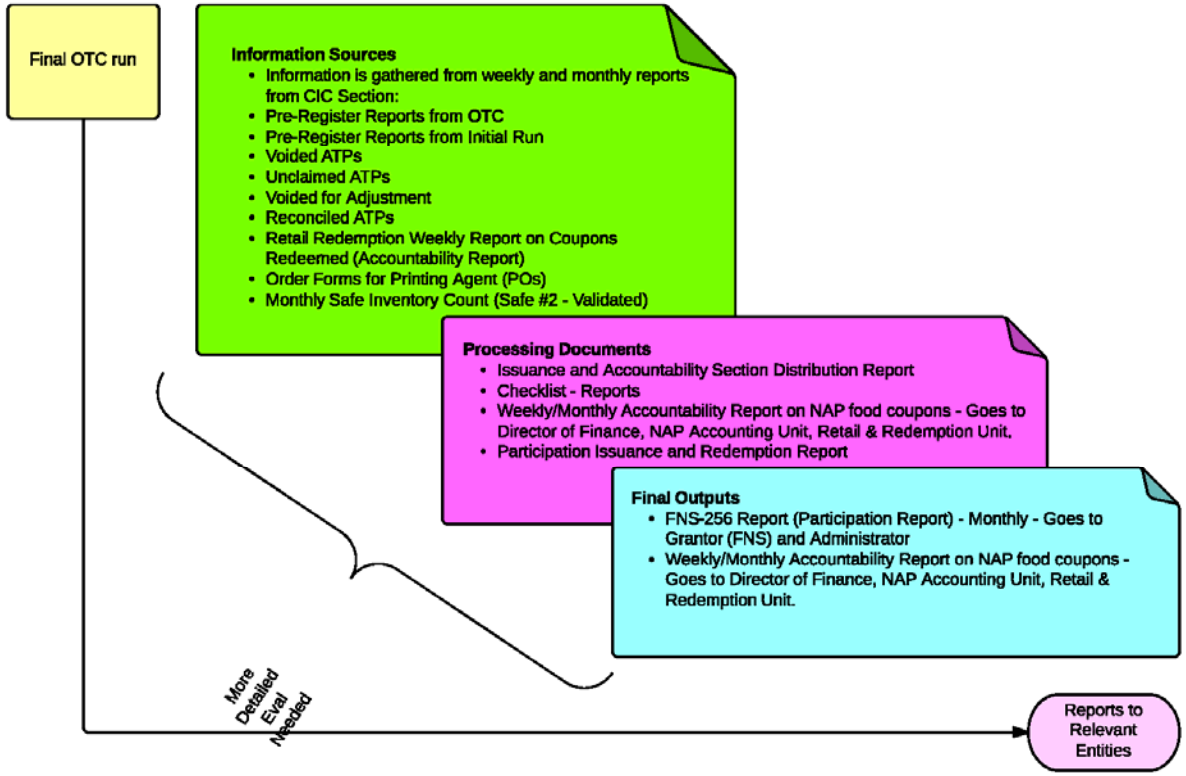


Map 11
CNMI Benefit Issuance & Claims Accountability - Monthly I & A Processes
As Is Map

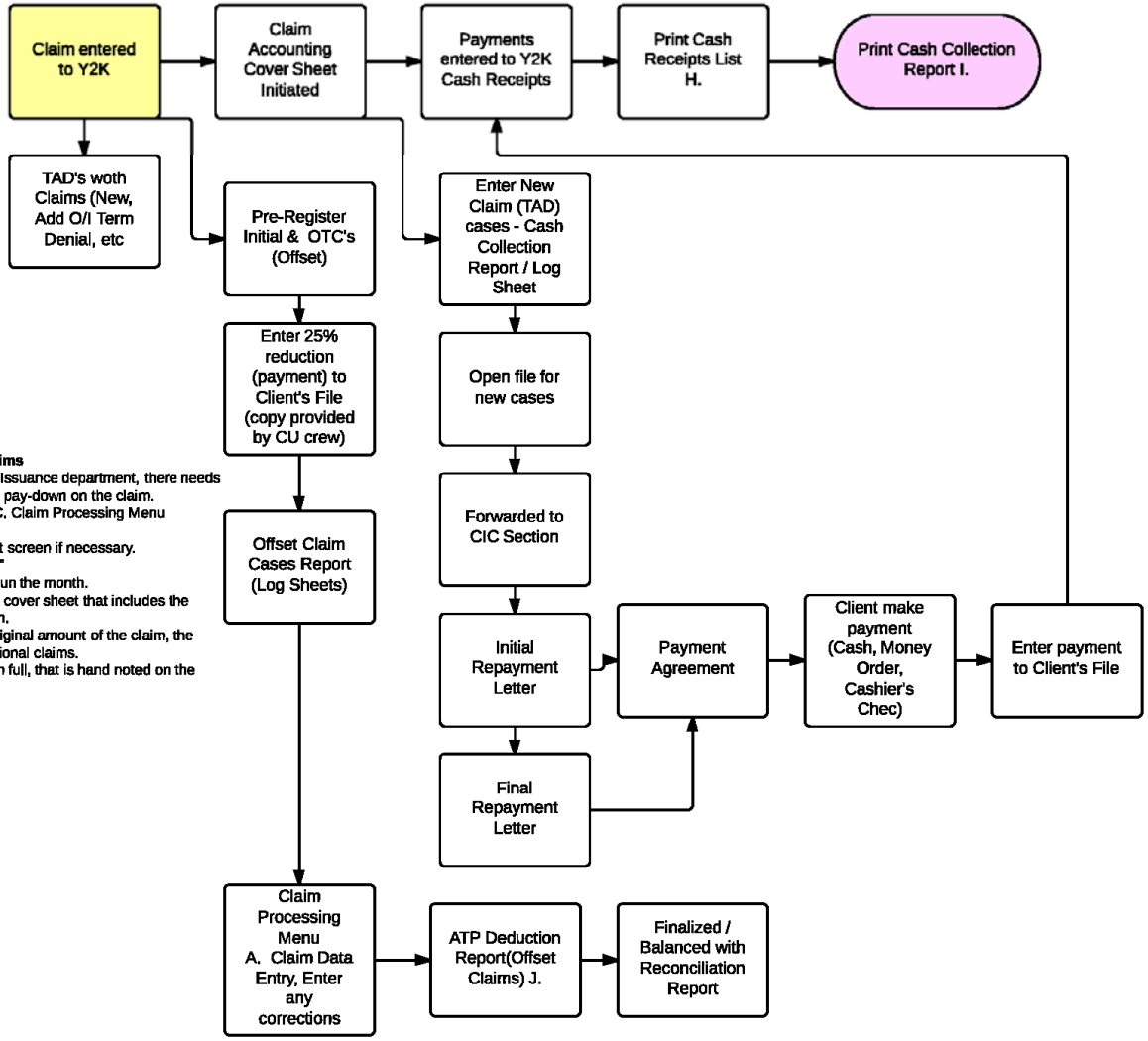


Map Notes | Tool List

Map 11
CNMI Benefit Issuance & Claims Accountability - Monthly I & A Processes
To Be Map



Map 12
CNMI Benefit Issuance & Claims Accountability - Accounting of Claims
As Is Map

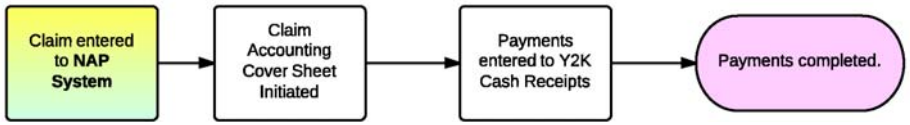


Process (As Is) Accounting of Claims

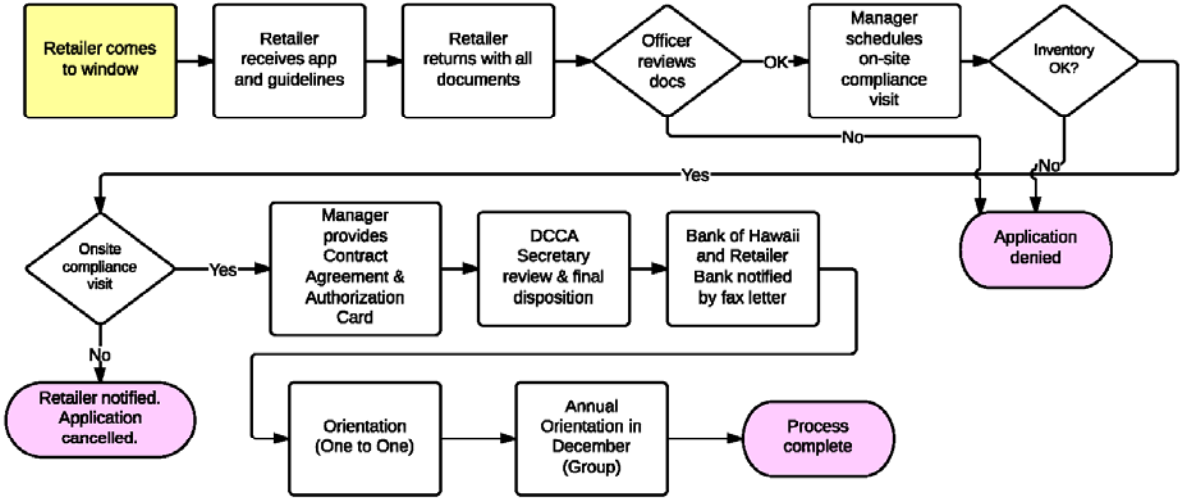
1. When a claim comes into the Issuance department, there needs to be a way to account for the pay-down on the claim.
2. From main y2K menu, go to C. Claim Processing Menu
3. "A. Claim Data Entry"
4. Adjustments are made on that screen if necessary.
5. "B. Cash Receipts Data Entry"
6. Cash Collection Reports are run the month.
7. Each client with a claim has a cover sheet that includes the accounting details handwritten.
8. The cover sheet shows the original amount of the claim, the pay-down amounts, any additional claims.
9. When claim amount paid off in full, that is hand noted on the cover sheet.

Map Notes | Tool List

Map 12
CNMI Benefit Issuance & Claims Accountability - Accounting of Claims
To Be Map



Map 13
CNMI Retailer - Relationship Lifecycle
As Is Map

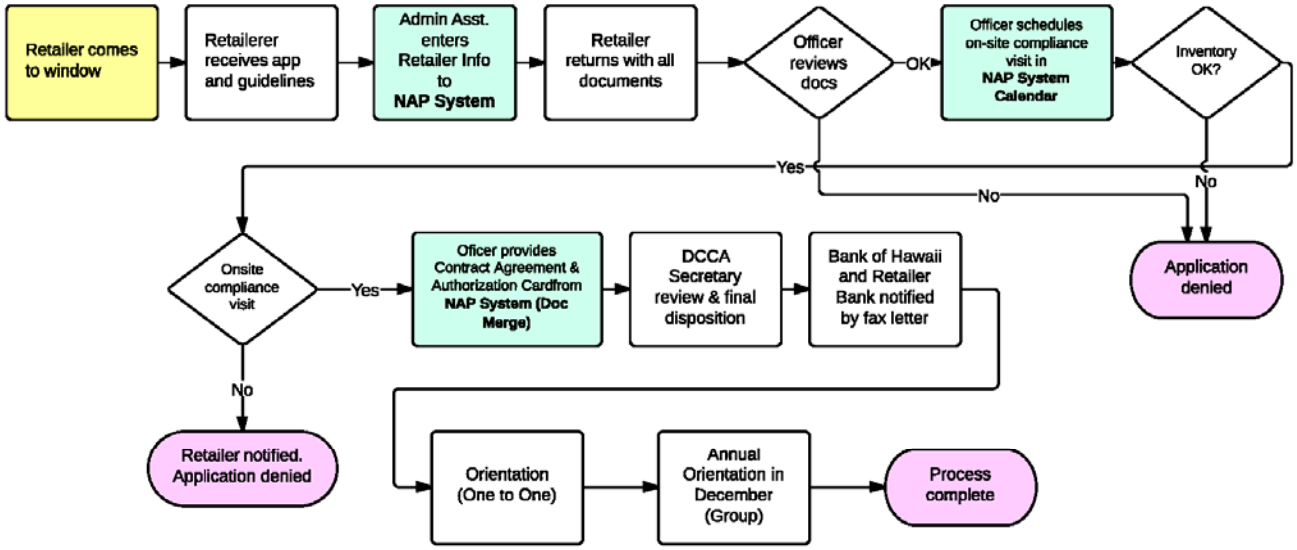


Process (As Is) Retailer Relationship Life Cycle

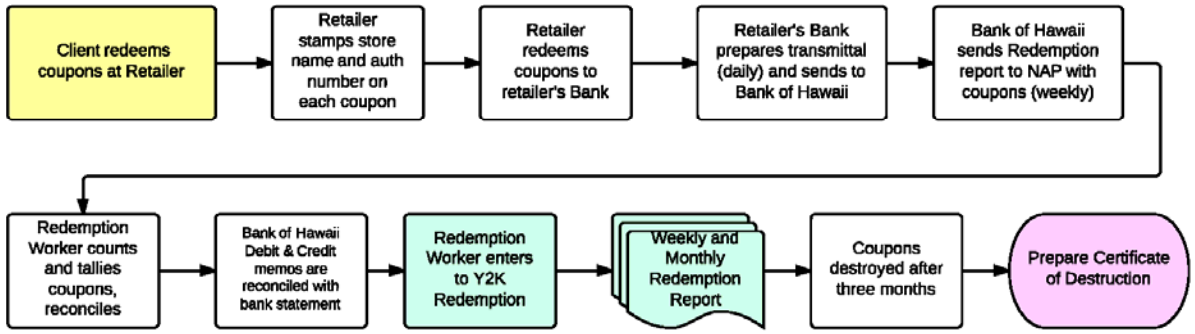
1. Vendor comes to window.
2. Vendor is provided an NAP Retailer Authorization Requirement Guidelines, must turn in all forms on the guidelines
3. Application is given to them and then all other documentation comes from the vendor.
4. Retailer brings Application and documents to window.
5. Manager reviews all docs
6. Manager sets appointment for visit by NAP staff
7. They evaluate whether the inventory matches requirements
8. Staff provides their recommendation approve or decline
9. Manager prepares contract agreement
10. Contract agreement sent to Secretary's office for final approval (sample agreement provided)
11. Bank(s) is informed by fax letter. Bank of Hawaii (Redemption Agent) and the Vendor's Bank. Vendor banks include Bank of Hawaii, Bank of Guam, Bank of Saipan, First Hawaiian Bank, and City Trust Bank. Each retailer can only bank through ONE bank.
12. Orientation is conducted one-to-one throughout the year.
13. Annual Orientation for all retailers

Map Notes | Tool List

Map 13
CNMI Retailer - Relationship Lifecycle
To Be Map



Map 14
CNMI Retailer - Redemption
As Is Map

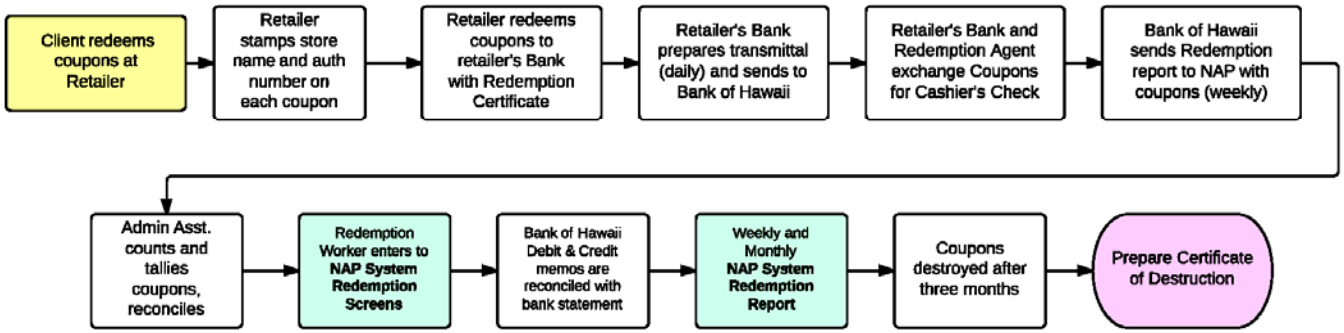


Process (As Is) Retailer Redemption

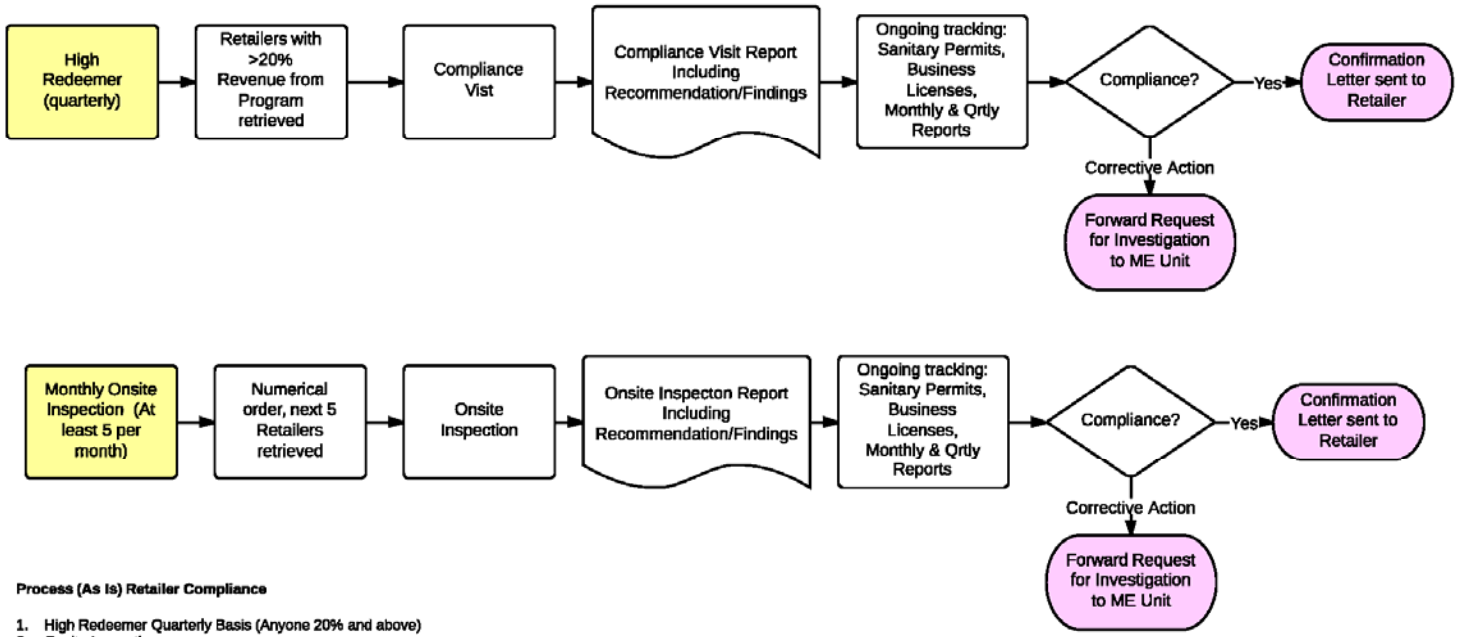
1. Retailer stamps store name and auth number on each coupon.
2. Retailer takes coupons along with NAP Redemption Certificate once a week (on average)
3. [Redemption Certificate is 4 -Part Form]
   a. White - NAP
   b. Yellow - Retailer
   c. Blue - Redemption Agent
   d. Pink - Retailer's Bank
4. Bank prepares transmittal daily, sent to BofH.
5. Bank sends redemption report to NAP with coupons weekly.
6. Redemption Worker counts and tallies the coupons and reconciles to the redemption report, the redemption certificates, and the transmittal sheet.
7. Debit memos are reconciled with transmittal sheet to NAP Statement of Account NAP Special Account.
8. Redemption Worker then enters into Y2K Redemption.
9. Coupons are kept for 3 months.
10. Sanitary Permits & Business Licenses are tracked on spreadsheet today.

Map Notes | Tool List

Map 14
CNMI Retailer - Redemption
To Be Map

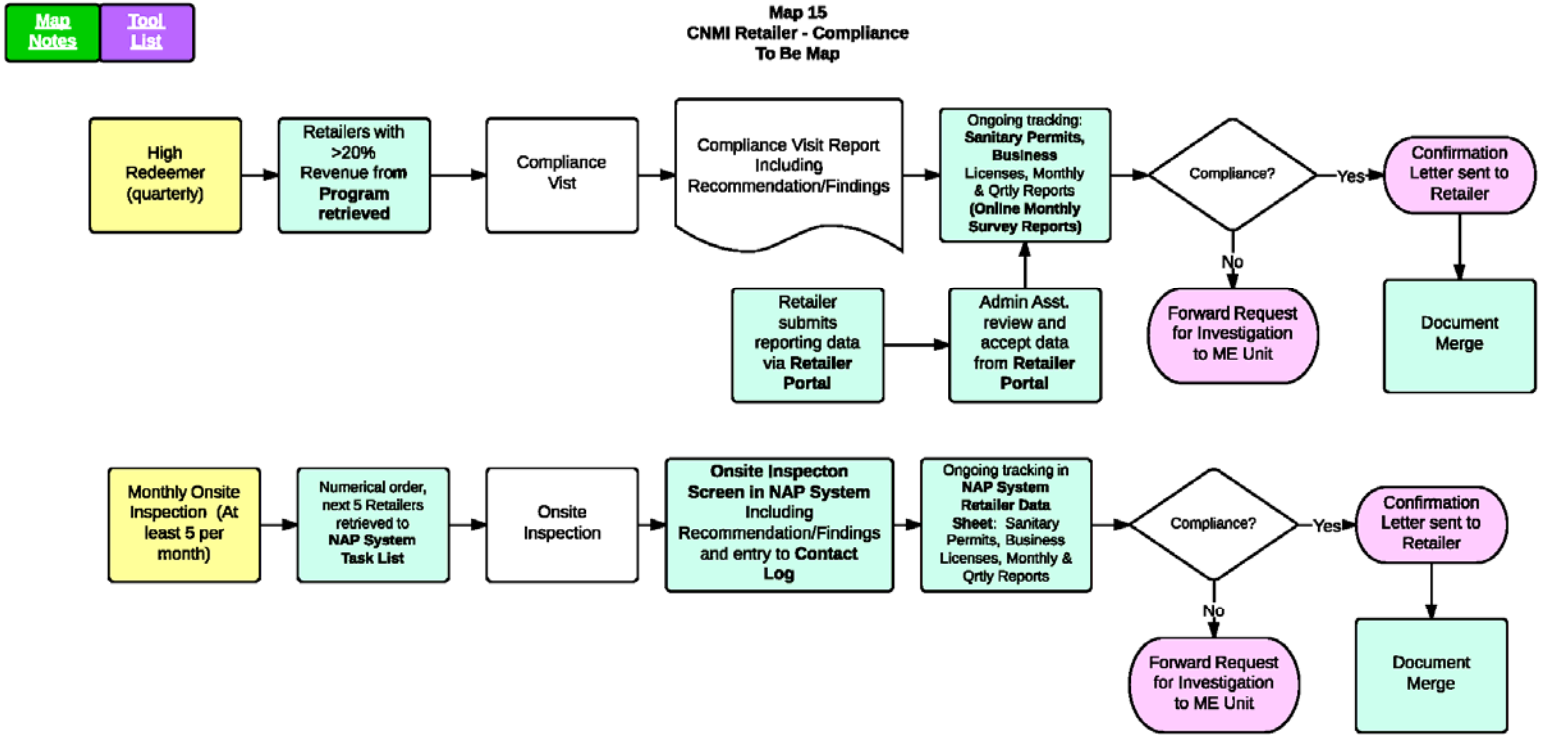


Map 15
CNMI Retailer - Compliance As Is Map

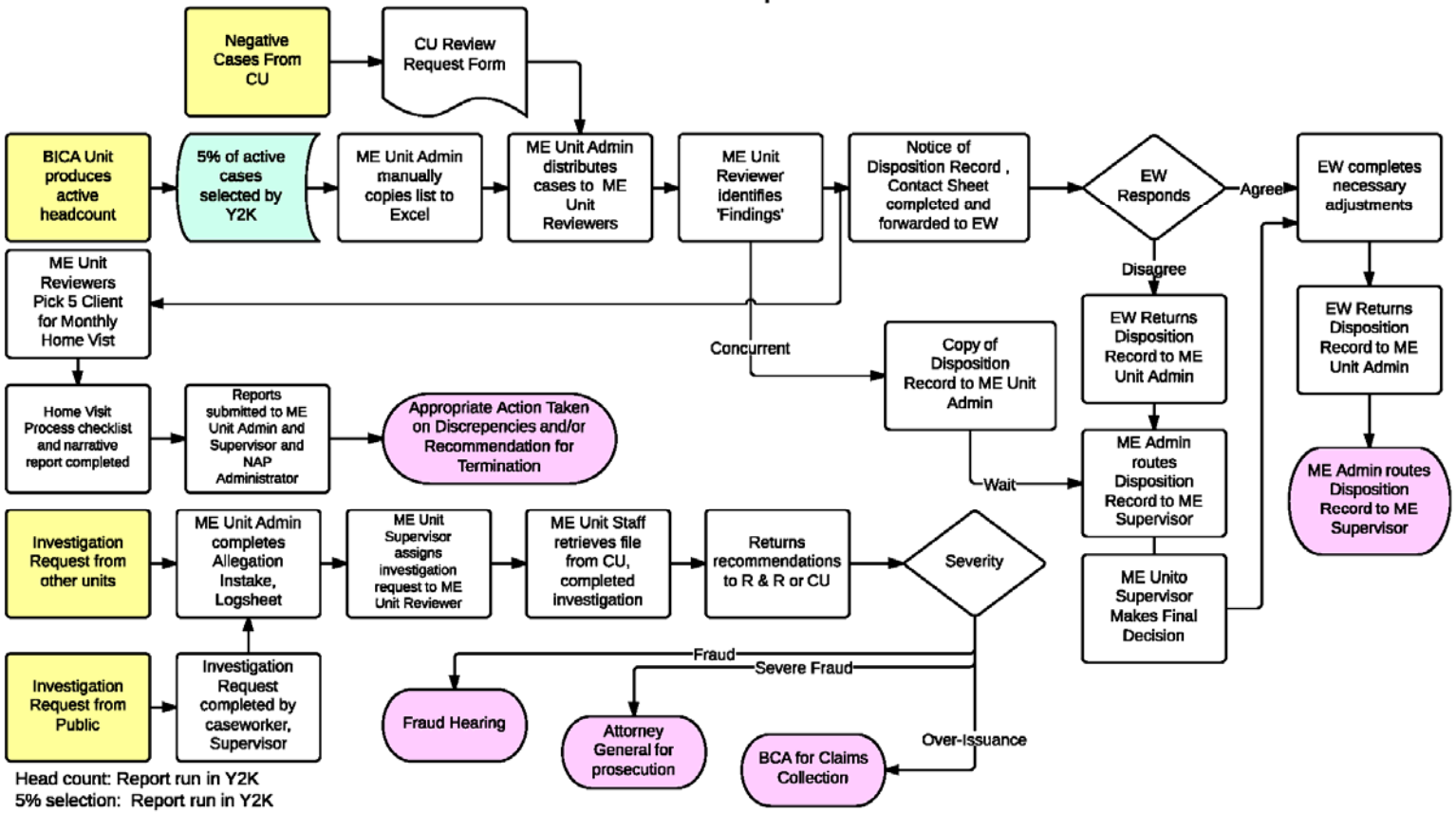


Process (As Is) Retailer Compliance

1. High Redeemer Quarterly Basis (Anyone 20% and above)
2. Onsite Inspection
3. Visit at least 5 stores every month, they work through the list from top to bottom.

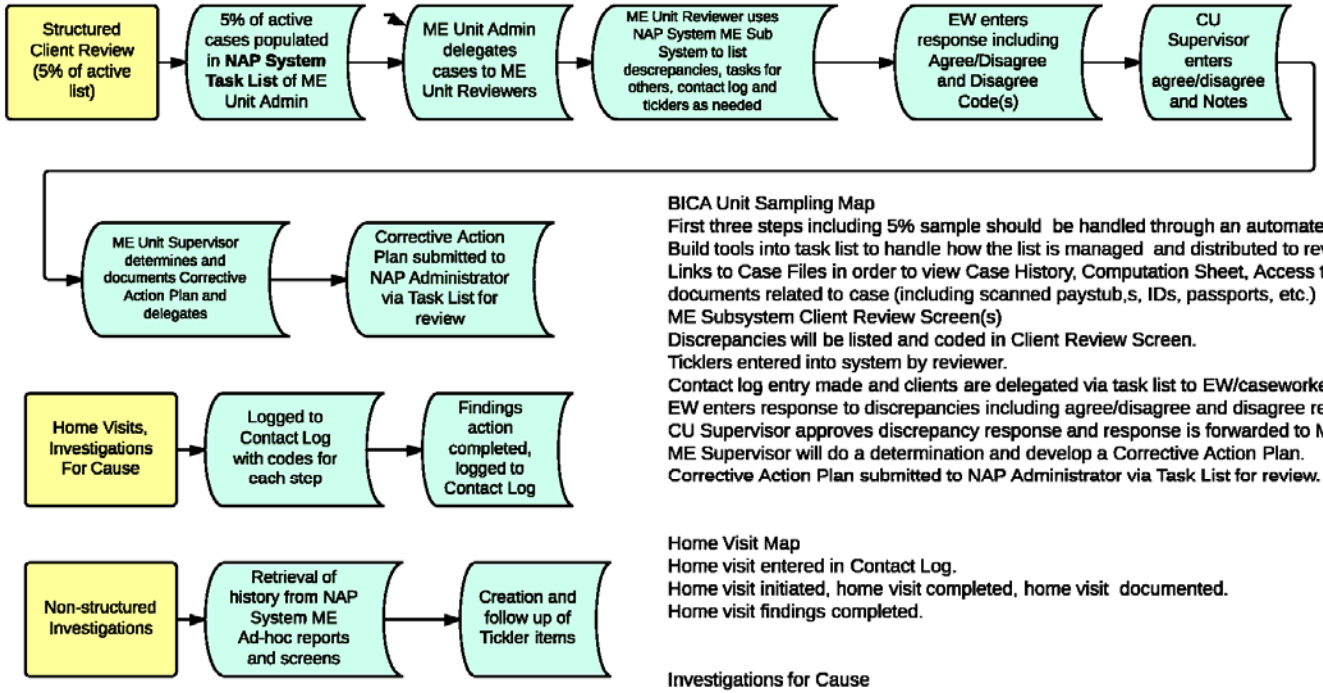

Map Notes
Tool List
Map 15
CNMI Retailer - Compliance
To Be Map
High Redeemer (quarterly)
Retailers with >20% Revenue from Program retrieved
Compliance Vist
Compliance Visit Report Including Recommendation/Findings
Ongoing tracking: Sanitary Permits, Business Licenses, Monthly & Qrtly Reports (Online Monthly Survey Reports)
Compliance?
Yes
Confirmation Letter sent to Retailer
No
Forward Request for Investigation to ME Unit
Document Merge
Retailer submits reporting data via Retailer Portal
Admin Asst. review and accept data from Retailer Portal
Monthly Onsite Inspection (At least 5 per month)
Numerical order, next 5 Retailers retrieved to NAP System Task List
Onsite Inspection
Onsite Inspecton Screen in NAP System Including Recommendation/Findings and entry to Contact Log
Ongoing tracking in NAP System Retailer Data Sheet: Sanitary Permits, Business Licenses, Monthly & Qrtly Reports
Compliance?
Yes
Confirmation Letter sent to Retailer
No
Forward Request for Investigation to ME Unit
Document Merge

Map 16
CNMI ME Unit
As Is Map



Head count: Report run in Y2K
5% selection: Report run in Y2K
Case Number and EW to Case Assignment Excel Sheet
Reviewer and Reviewer II positions received pertaining to capacity. Special projects can influence.
Supporting documents, income, employment, etc are on the Reviewer Checklist
Notice of Disposition Record , Contact Sheet completed and forwarded to EW. When findings come back, Prepare Monthly Report, Issuance Findings are all compiled for reporting requirements. Supervisor receives all this information.
EW Response is a copy of the Case Review Disposition Form; EW keeps copy in case file
EW updates Contact Sheet with work completed
Negative Cases from CU: 100% of all Denial, Withdrawn and Terminated cased
Investigation Request form other units: CU has a form, R and R, Issuance, Admin can request via email or other.
ME Unit Admin completes Allegation Intake Log sheet: ID number, date received, case number, etc
ME Unit Supervisor assigns investigation to Reviewer, workload distribution based on current caseloads.
Returns recommendations to R & R or CU based on which is impacted by investigation
Severity: Based on $50 or more, Fraud hearing, more severe can go AG

Map 16
CNMI ME Unit
To Be Map



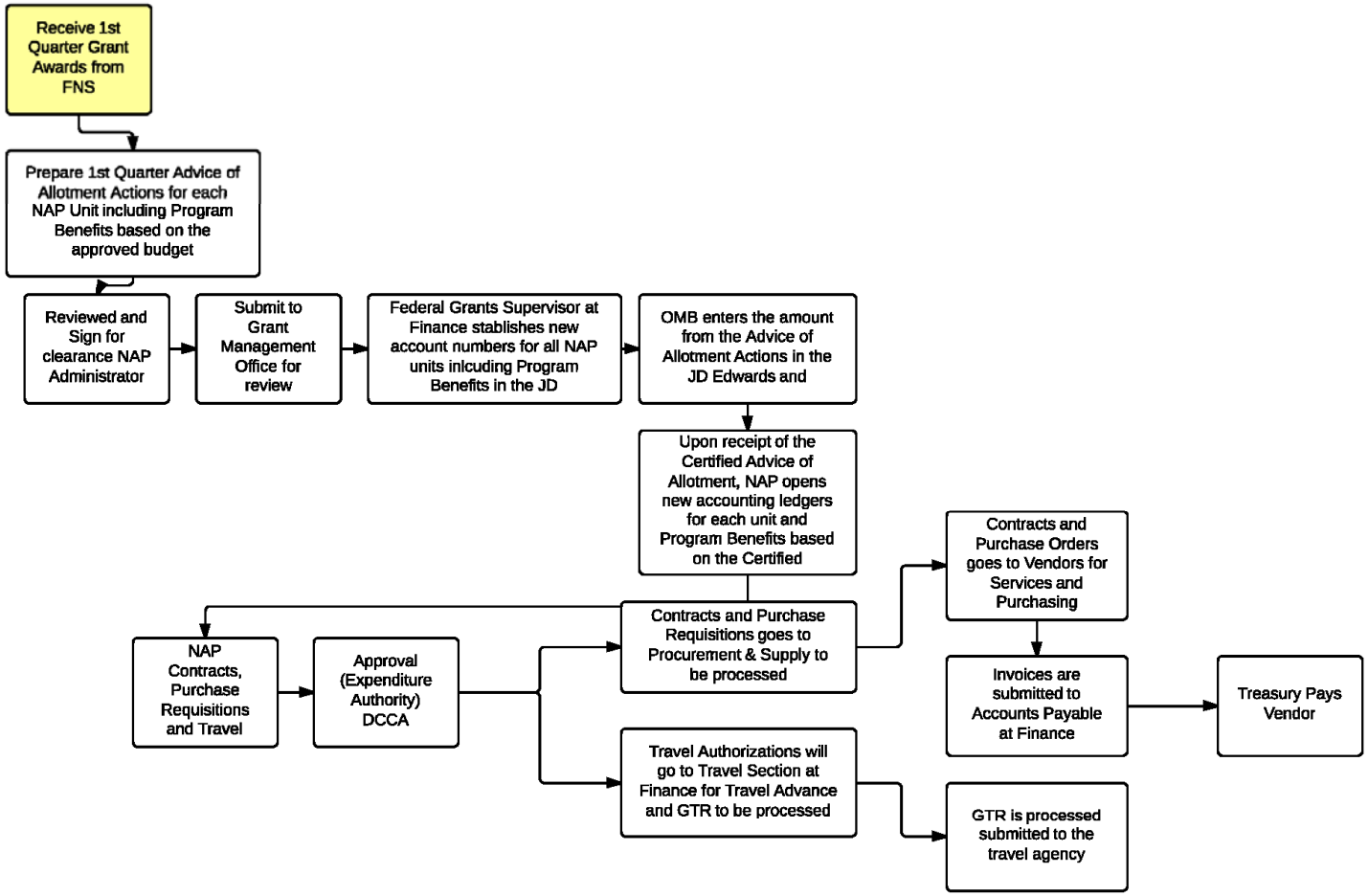
BICA Unit Sampling Map
First three steps including 5% sample should be handled through an automated task list.
Build tools into task list to handle how the list is managed and distributed to reviewers.
Links to Case Files in order to view Case History, Computation Sheet, Access to scanned documents related to case (including scanned paystub,s, IDs, passports, etc.)
ME Subsystem Client Review Screen(s)
Discrepancies will be listed and coded in Client Review Screen.
Ticklers entered into system by reviewer.
Contact log entry made and clients are delegated via task list to EW/caseworker.
EW enters response to discrepancies including agree/disagree and disagree reason codes.
CU Supervisor approves discrepancy response and response is forwarded to ME Supervisor.
ME Supervisor will do a determination and develop a Corrective Action Plan.
Corrective Action Plan submitted to NAP Administrator via Task List for review.

Home Visit Map
Home visit entered in Contact Log.
Home visit initiated, home visit completed, home visit documented.
Home visit findings completed.

Investigations for Cause
Investigation entered in Contact Log.
Investigation initiated,investigation completed, investigation documented.
investigation findings completed.

Non-Structured Investigations
Retrieval of review history.
Expired tickler items. (Tickler codes relevant to ME requirements)

NOTE: This process had no corresponding To Be Map because it will not be processed in the software system
CNMI Accounting - As Is



APPENDIX D - CNMI REFERENCE

Glossary of Terms

Acronym	Title	Concept/Purpose
AITR	Allegation Intake Report	Complaint received for investigation.
ATP	Authorization To Paricipate	Document with approval and benefit info
CAP	Corrective Action Plan	Action taken by MEU Supervisor to identify and eliminate the cause of discrepancy, thus preventing from repeated.
CAR	Comprehensive Active Report	MEU comprehensive report of findings on reviews of active/negative cases, overall reviews and investigations, findings and other accomplishments in the Unit--to be submitted to the DCCA Secretary within 30 days at the end of the year (copy to the Administrator).
CU	Certification Unit	Unit in the NAP Office
CYR	Calendar Year Report	MEU comprehensive annual reports of findings on reviews of active and negative cases, and overall reviews, investigations and other accomplishments --to be submitted to the Administrator: (a) Estimate report-- 30 days prior to the end of the year. (b) Final report-- 30 days after the end of the calendar year for the governor's report on the state of the commonwealth address.
EW	Eligibility Worker	NAP Employee-Caseworkers
FI	Field Investigation	Action conducted by MEU staffs to verify alleged complaint for compliance of NAP requirements.
FIR	Field Investigation Report	Findings report of field investigation.
FYR	Fiscal Year Report	MEU fiscal year report of findings on reviews of active and negatives and other accomplishments -- addressed to the Administrator once a year within 30 days of the end of the fiscal year.
HD	Head of Household	Name the benefit is under
HH	Household	Family
HV	Home Visit	Action conducted by MEU staffs to verify for compliance of NAP requirements.
HVR	Random Home Visit Report	Findings report of random home visit.
IR	Interim Report	MEU interim (semi-annual) reports of findings of active cases reviewed to be addressed to DCCA Secretary (copy to the Administrator): --30 days after first (1st) six months; --30 days after second (2nd) six months.
MOR	Monthly Case Reviews Findings Report	MEU monthly report of case reviews findings with analysis of the findings and recommendations for corrective action to be submitted to the Administrator.
NA	New Applicant	First Time Applicants
NAP	Nutritional Assistance Program	CNMI Food Stamp Program
NCR	Negative Case Review Disposition Record	MEU case review findings/responses by CU/RRU/BICA.
NOD	Notice of Disposition	Notice to Clients Re: Status of Application
QTR	Quarterly Active Case Review Findings Report	MEU quarterly report of findings on Active Report case reviews with analysis of findings and recommendations for corrective action-—to be submitted to the Administrator within 15 days after the end of the quarter (copies to the FNS and DCCA Secretary).
RC	Recertify	On-Going Applicants

RCR	Random Case Review	Disposition Record Document MEU case review findings/responses by CU/RRU/BICA.
RO	Re-Open	Reopening Applicants
TAD	Turn Around Document	Mark up of existing benefit information
WR	Work Registration	Refer clients to Labor for Job Seeking
Y2K	Y2K	Current System
Y2K	Y2K	Current System
ZIQ	Zero Income Questionaire	Document with questions for clients

Wireframes

CNMI NAP Program
Eligibility and Issuance
Software Project
Wire Frame Collection

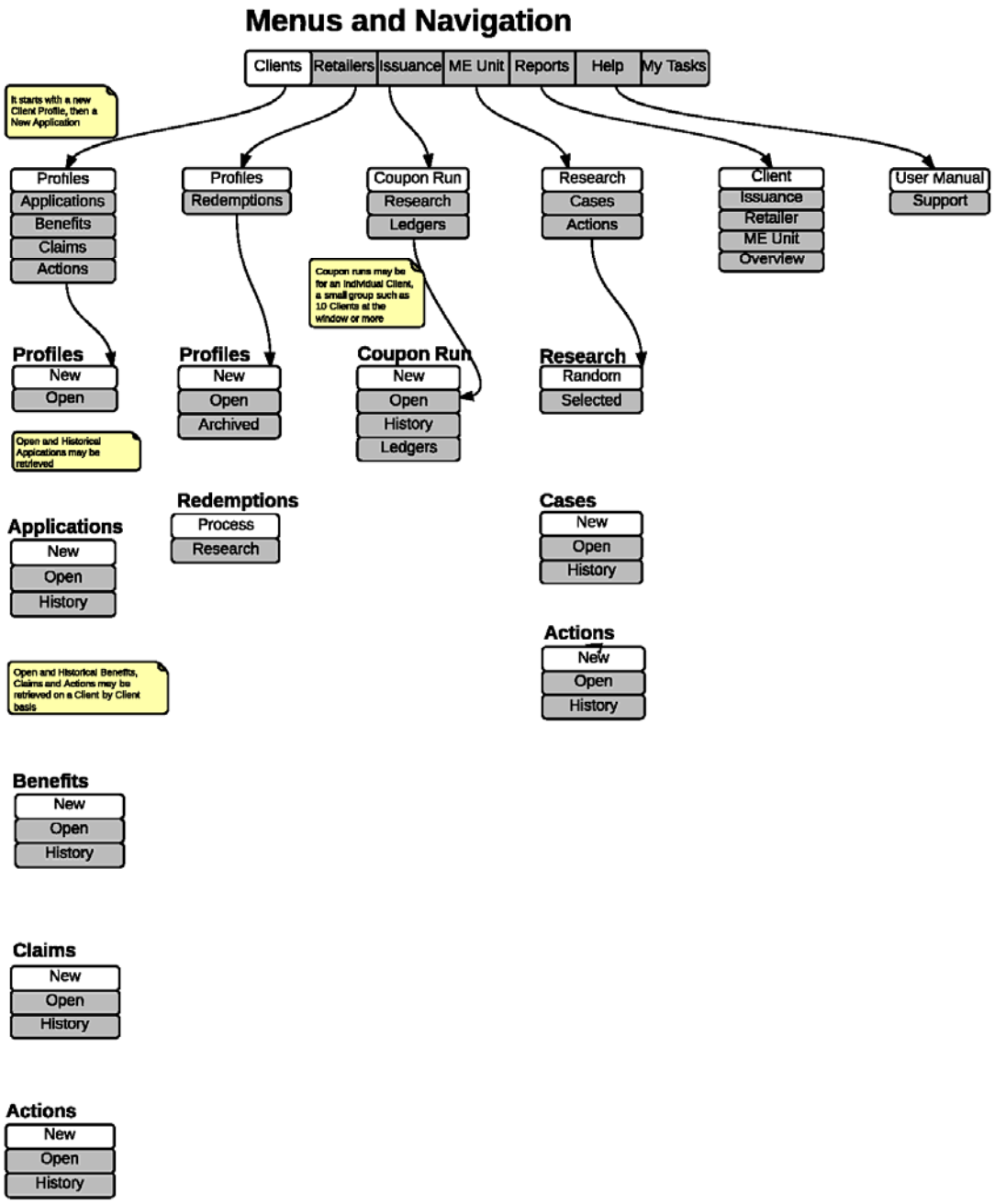
Approach:
The content of this document was developed through the use of Koa Hills-created maps and documentation of CNMI NAP processes and procedures

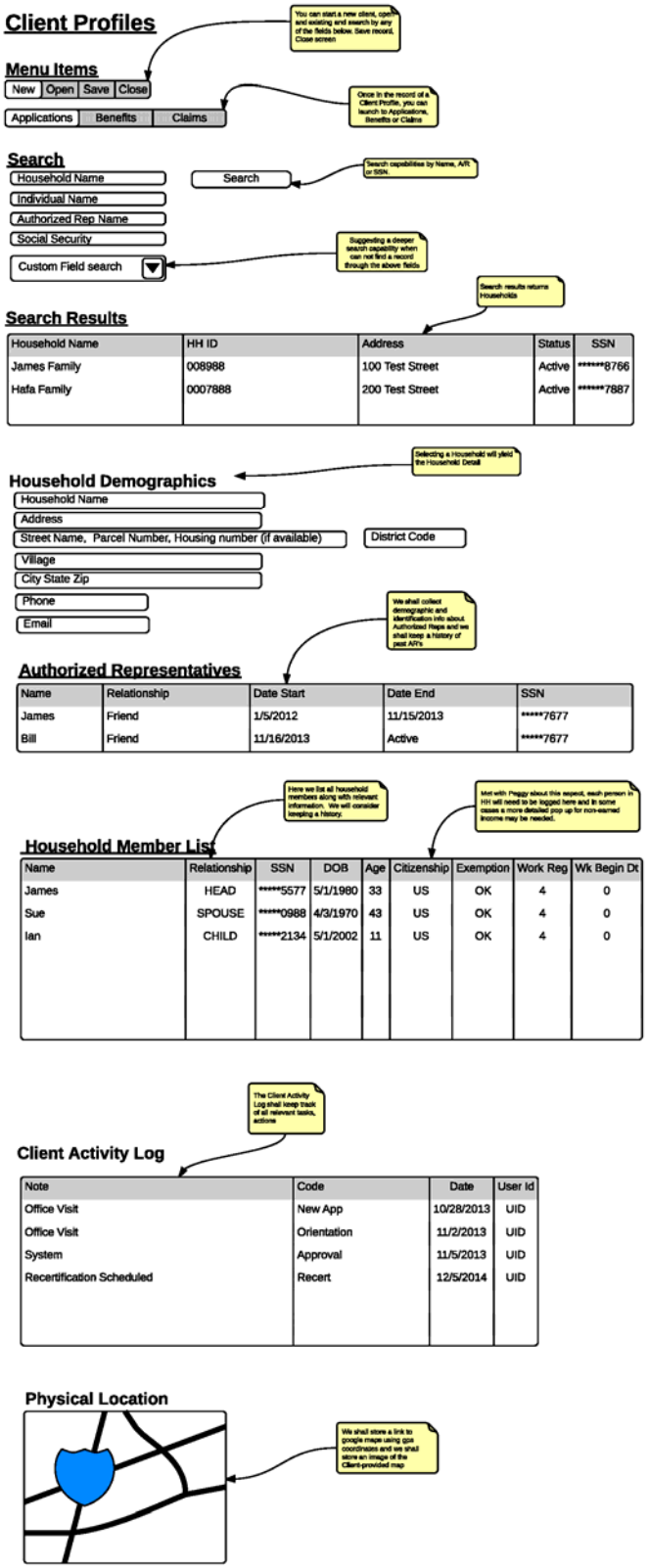
Assumptions:
We assume these 'imaginings' shall be reviewed with the Software company in order to properly apply the principles involved in coordination with the Software framework and methodology.

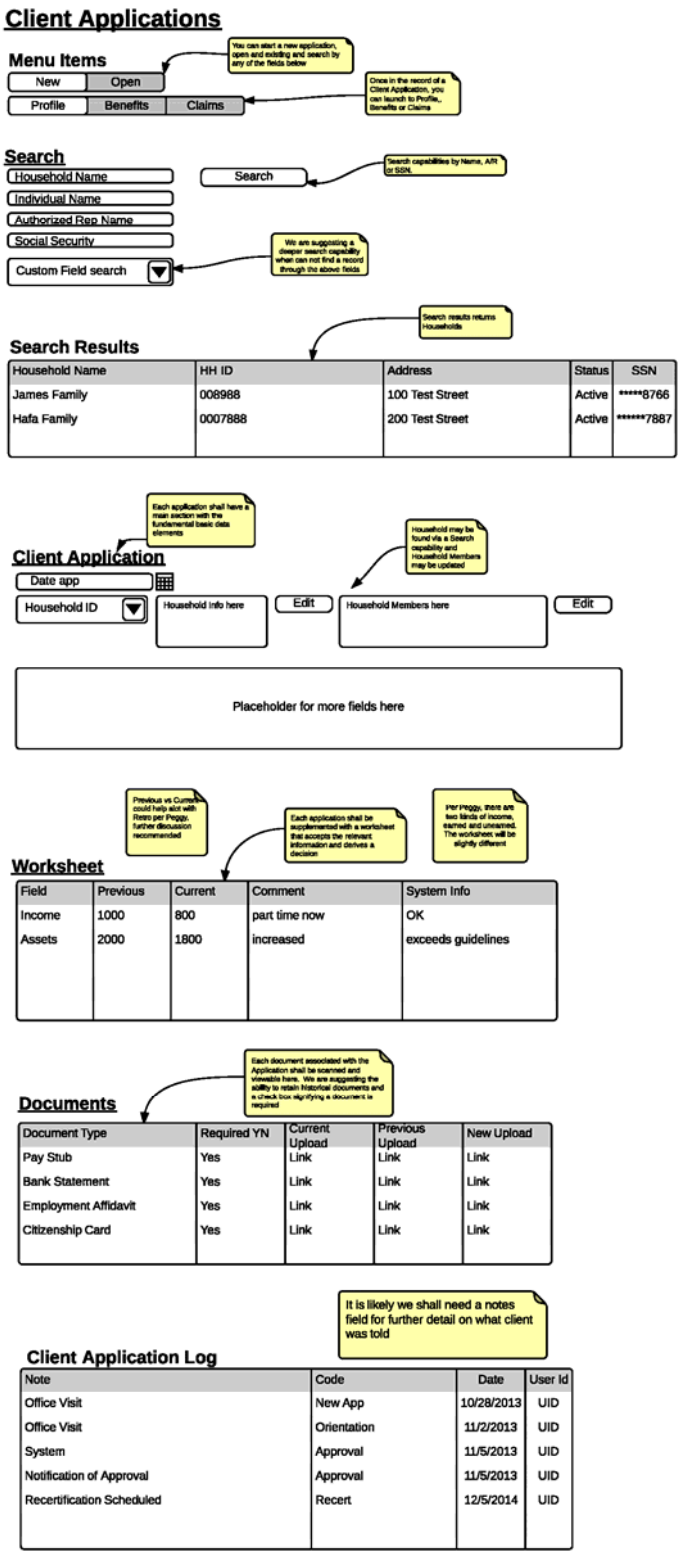
Accuracy
The data elements and labels portrayed are designed to be for example only. Additional detail shall be resolved by further review between the Software Company and NAP Staff.

Intended Use
The screens, menus and data elements portrayed on this document are intended to serve as "imaginings" of the desired software product, not the actual finished product. Value of this document is intended to be a stepping stone into further discovery and documentation of the finished software product

Sub Systems
So far, we believe the following are candidates for Sub Systems:
Clients
Retail & Redemption
Issuance
ME Unit


Menus and Navigation
Clients
Retailers
Issuance
ME Unit
Reports
Help
My Tasks
It starts with a new Client Profile, then a New Application
Profiles
Applications
Benefits
Claims
Actions
Profiles
Redemptions
Coupon Run
Research
Ledgers
Research
Cases
Actions
Client
Issuance
Retailer
ME Unit
Overview
User Manual
Support
Coupon runs may be for an individual Client, a small group such as 10 Clients at the window or more
Profiles
New
Open
Profiles
New
Open
Archived
Coupon Run
New
Open
History
Ledgers
Research
Random
Selected
Open and Historical Applications may be retrieved
Redemptions
Process
Research
Applications
New
Open
History
Cases
New
Open
History
Actions
New
Open
History
Open and Historical Benefits, Claims and Actions may be retrieved on a Client by Client basis
Benefits
New
Open
History
Claims
New
Open
History
Actions
New
Open
History


Client Profiles
You can start a new client, open and existing and search by any of the fields below. Save record. Close screen
Menu Items
New
Open
Save
Close
Once in the record of a Client Profile, you can launch to Applications, Benefits or Claims
Applications
Benefits
Claims
Search
Household Name
Individual Name
Authorized Rep Name
Social Security
Custom Field search
Search
Search capabilities by Name, A/R or SSN.
Suggesting a deeper search capability when can not find a record through the above fields
Search results returns Households
Search Results
Household Name | HH ID | Address | Status | SSN
James Family | 008988 | 100 Test Street | Active | ******8766
Hafa Family | 0007888 | 200 Test Street | Active | ******7887
Selecting a Household will yield the Household Detail
Household Demographics
Household Name
Address
Street Name, Parcel Number, Housing number (if available)
District Code
Village
City State Zip
Phone
Email
We shall collect demographic and identification info about Authorized Reps and we shall keep a history of past A/R's
Authorized Representatives
Name | Relationship | Date Start | Date End | SSN
James | Friend | 1/5/2012 | 11/15/2013 | *****7677
Bill | Friend | 11/16/2013 | Active | *****7677
Here we list all household members along with relevant information. We will consider keeping a history.
Met with Peggy about this aspect, each person in HH will need to be logged here and in some cases a more detailed pop up for non-earned income may be needed.
Household Member List
Name | Relationship | SSN | DOB | Age | Citizenship | Exemption | Work Reg | Wk Begin Dt
James | HEAD | *****5577 | 5/1/1980 | 33 | US | OK | 4 | 0
Sue | SPOUSE | *****0988 | 4/3/1970 | 43 | US | OK | 4 | 0
Ian | CHILD | *****2134 | 5/1/2002 | 11 | US | OK | 4 | 0
The Client Activity Log shall keep track of all relevant tasks, actions
Client Activity Log
Note | Code | Date | User Id
Office Visit | New App | 10/28/2013 | UID
Office Visit | Orientation | 11/2/2013 | UID
System | Approval | 11/5/2013 | UID
Recertification Scheduled | Recert | 12/5/2014 | UID
Physical Location
We shall store a link to google maps using gps coordinates and we shall store an image of the Client-provided map


Client Applications
Menu Items
You can start a new application, open and existing and search by any of the fields below
New
Open
Once in the record of a Client Application, you can launch to Profile,, Benefits or Claims
Profile
Benefits
Claims
Search
Household Name
Search
Search capabilities by Name, AR or SSN.
Individual Name
Authorized Rep Name
Social Security
We are suggesting a deeper search capability when can not find a record through the above fields
Custom Field search
Search results returns Households
Search Results
Household Name | HH ID | Address | Status | SSN
James Family | 008988 | 100 Test Street | Active | *****8766
Hafa Family | 0007888 | 200 Test Street | Active | ******7887
Each application shall have a main section with the fundamental basic data elements
Household may be found via a Search capability and Household Members may be updated
Client Application
Date app
Household ID
Household Info here
Edit
Household Members here
Edit
Placeholder for more fields here
Previous vs Current could help alot with Retro per Peggy, further discussion recommended
Each application shall be supplemented with a worksheet that accepts the relevant information and derives a decision
Per Peggy, there are two kinds of income, earned and unearned. The worksheet will be slightly different
Worksheet
Field | Previous | Current | Comment | System Info
Income | 1000 | 800 | part time now | OK
Assets | 2000 | 1800 | increased | exceeds guidelines
Each document associated with the Application shall be scanned and viewable here. We are suggesting the ability to retain historical documents and a check box signifying a document is required
Documents
Document Type | Required YN | Current Upload | Previous Upload | New Upload
Pay Stub | Yes | Link | Link | Link
Bank Statement | Yes | Link | Link | Link
Employment Affidavit | Yes | Link | Link | Link
Citizenship Card | Yes | Link | Link | Link
It is likely we shall need a notes field for further detail on what client was told
Client Application Log
Note | Code | Date | User Id
Office Visit | New App | 10/28/2013 | UID
Office Visit | Orientation | 11/2/2013 | UID
System | Approval | 11/5/2013 | UID
Notification of Approval | Approval | 11/5/2013 | UID
Recertification Scheduled | Recert | 12/5/2014 | UID

Client Benefits

Menu Items

New | Open

Profile | Applications | Claims

Once in the record of a Client Application, you can launch to Profile.. Benefits or Claims

Search for Benefits

Household Name

Individual Name

Authorized Rep Name

Social Security

Custom Field search

Search

Search capabilities by Name, A/R or SSN.

We are suggesting a deeper search capability when can not find a record through the above fields

Search Results

Search results returns Households

Household Name	HH ID	Address	Status	SSN
James Family	008988	100 Test Street	Active	*****8766
Hafa Family	0007888	200 Test Street	Active	******7887

Granted Benefits for James Family

This is where we would have the EW (Eligibility Worker) provision benefits and to check off the release button to have it show up in the Issuance Sub System

Amount

Scheduled thru

☐ Half month benefit (first month)

☐ Release Benefits to Issuance

Peggy and Keith discussed the importance of benefits being controlled at the benefit period or benefit month so that issuance does not duplicate nor print ahead months

We need to be able to enter adjustments here then have them link to the Client Claims screen

Adjustments for James Family

Household Name	HH ID	Reason	Date	Amount	Status
James Family	008989	Over pay	12/3/2013	-20	Pending
James Family	99877	Over pay	11/4/2013	-20	Issued

Benefits for James Family

A list of past, current and forecasted Benefits shall appear here

Household Name	HH ID	Date	Amount	Status
James Family	008989	12/3/2013	200	Pending
James Family	99877	11/4/2013	200	Issued
James Family	009877	10/2/2013	200	Issued
James Family	007666	9/5/2013	200	Issued

Detail for James Family 12/3/2013 Benefits

Denomination	Category	Count	Value
2G	General	4	8
20G	General	2	40
10L	Local	5	50

We are suggesting here a detail down to the booklet/denomination level of what the current benefits consist of

Client Claims / Underpayments

Per Peggy, Underpayments can be handled here as well.

Menu Items

New | Open

Profile | Applications | Benefits | Actions

Search for Claims

Household Name

Individual Name

Authorized Rep Name

Social Security

Custom Field search

Search

We are suggesting a deeper search capability when can not find a record through the above fields

- (●) Current
- ( ) History
- ( ) Both

Search Results

Household	HH ID	Date	Status
James Family	02570	10/6/2013	Open
James Family	00045	9/1/2012	Paid

Promissory Note Set Up

Amount owed

First Payment On

Pay Amount per Mo

- ( ) Offset
- (●) Cash

Detail for a selected Claim is viewable

Payments against the amount owed to be tracked here; a Receipt feature is needed

Promissory Payback Ledger

Description	Date	Amount	Balance
Offset	8/5/2013	600	600
Payment from Benefits	9/1/2013	100	500
Payment from Benefits	9/1/2013	100	400
Cash Payment	9/15/2013	200	200

Client Actions

Menu Items

New | Open

Profile | Applications | Benefits | Claims

Search for Actions

Household Name

Individual Name

Authorized Rep Name

Social Security

Custom Field search

Search

We are suggesting a deeper search capability when can not find a record through the above fields

Current

History

Both

Search Results

Household	HH ID	Date	Status
James Family	02570	10/6/2013	Open
James Family	00045	9/1/2012	Paid

Action Data Entry

☑ Termination ☐ Increase ☐ Decrease ☐ Disqualification ☐ Suspension

Peggy has a list of these Action Codes

Adustment Amount

Client Actions such as Investigations, Terminations, etc will be visible here. It is likely that this will be a filtered view of the Activity Log. In other words, the Activity Log but with only Codes that are truly "Actions"

Actions

Note	Code	Date	User Id
Office Visit	New App	10/28/2013	UID
Office Visit	Orientation	11/2/2013	UID
System	Approval	11/5/2013	UID

Retailer Profile

Menu Items

New | Open | Save | Close

Search for Retailers

Retailer Name

Owner Name

Taxpayer ID

Custom Field search

Search

Search capabilities by Name, Owner or Taxpayer ID. Search results returns Retailers

A location change, same Auth #, new ownership, new Auth #

- (•) Current
- ( ) History
- ( ) Both

Search Results

Retailer Name	Retailer ID	Date	Status
Hafa Dai Grocery	02570	10/6/2013	Active
Pretty Market	00045	9/1/2012	Active

Retailer Profile

~~FS#####~~ Internally assigned

- (•) App Pending
- ( ) Active
- ( ) Inactive

The imagining here is that we can pull up existing retailers or add a new Retailer

Name of Firm

Authorization #

Name of Owner

Renewal /Anniversary Date

Telephone Number

Fax Number

Name of Person Responsible

Local Foods: ( ) Less than 25% ( ) 25% or more ( ) 50% or more (•) 75% or more of Food Sales

Type of firm:

- [x] Supermarket
- [ ] Medium Sized
- [ ] More on app

Combination Store:

- [x] Supermarket
- [ ] Medium Sized
- [ ] More on app

Alchoholic Beverage

- [x] Yes
- [ ] No

New ownership will require new Authorization

Redemption Bank

Business ownership

(•) Sole Prop ( ) Partnership ( ) Corp

Documents

Each document associated with the Application shall be scanned and viewable here. We are suggesting the ability to retain historical documents and a check box signifying a document is required

Document Type	Required YN	Current Upload	Previous Upload	New Upload	Expiration
Store Inventory	Yes	Link	Link	Link	12/31/2013
Bank Statement	Yes	Link	Link	Link	12/31/2013
BGRT (Bus Gross & Rev Taxation)	Yes	Link	Link	Link	12/31/2013
Local Food Survey	Yes	Link	Link	Link	12/31/2013
Work Force Requirement	Yes	Link	Link	Link	12/31/2013
Business License	Yes	Link	Link	Link	12/31/2013
On Site Inspection	Yes	Link	Link	Link	12/31/2013
Sanitary Permit	Yes	Link	Link	Link	12/31/2013
NAP Authorization Card	Yes	Link	Link	Link	12/31/2013
Top 20 High Redeemer Compliance Visit Form	Yes	Link	Link	Link	12/31/2013

Retailer Activity Log

Note	Code	Date	User Id
Office Visit	New App	10/28/2013	UID
Office Visit	Orientation	11/2/2013	UID
System	Approval	11/5/2013	UID
Ratailer Term	12/1/2013	UID	

Retailer Redemption

Menu Items

New | Open | Save | Close

Redemption Entry

Date | Bank

Denomination	Quantity	Value
$2 Local	10	$20
$10 Local	2	$20
$2 General	15	$30
$5 General	20	$100
$10 General	50	$500
$20 General	18	$360
$50 General	4	$200
Firms Total	0	0
Banks Total	0	0

The data entry may require more than what is reflected here. This is a start. We want to capture what we need to support reporting requirements

Further exploration about how to pull in redemption data at the Client level may reveal that this data entry could be automated

Issuance - Run Coupons

Menu Items

New Queue | Open Queue

Imagining the flexible to run single benefits, small batches and larger batches as needed

The specifics of this screen will be partially driven by how we choose to handle the coupons

Issuance Work Queues

Type of run	Date	Households	Benefits
Primary Run	11/2/2013	3456	566655
Supplemental Run	11/4/2013	4	1200
Supplemental Run	11/6/2013	6	1720
Recently Entered Benefits	TBD	12	1560

The "Recently Entered Benefits" would be the newly entered Benefits from the EWs. The thought here is to have a smooth way for Issuance to see what used to be OTC's

History - Coupon Runs

Type of run	Date	Households	Benefits
Primary Run	10/3/2013	3456	566655
Supplemental Run	10/5/2013	4	1200
Supplemental Run	10/5/2013	6	1720

The History would allow going back to see prior runs

We are envisioning the ability to click on a current or historical coupon run from above (essentially a batch) and to see the detail here below in list format. We believe this will be populated by the EWs and organized here into logical batches, or can be run individually depending on how we decide to handle Coupons at the counter.

Benefits Coupon Run Detail

Households | Benefits | Run Date | Run Queue

Household Name	HH ID	Benefit Amount	2G	5G	10G	20G	50G	2L	5L	10L	20L	50L	Start #	End#	Include
James Family	00988	345	2	3	2	2	1	1	2	3	2	2	089988	098888	◉
Sata Family	02388	235	2	3	2	2	1	1	2	3	2	2	098877	097888	◉
Elver Family	02588	885	2	3	2	2	1	1	2	3	2	2	098777	987666	◉

Coupon Run and Issuance Activity Log

Note	Code	Date	User Id
Run Single	New App	10/28/2013	UID
Run Small Batch - Saipan	Issuance	11/2/2013	UID
Run Small Batch - Tinian 20 Clients	Issuance	11/5/2013	UID
Release - Tinian 20 Clients	Custodial Release	11/5/2013	

ME Unit - Investigations

Random Investigations

Investigation Description	Type	Reference ID	Reviewer	Date Assigned	Status
1 of 180 5% Random	Random	00888	Nick	10/12/2013	Pending
2 of 180 5% Random	Random	00576	Nick	10/12/2013	Pending

Selected Investigations

Investigation Description	Type	Reference ID	Reviewer	Date Assigned	Status	Action	Delegated To
Routine EW Evaluation	Approval	0088	James	10/12/2013	Pending	TBD	TBD

Home Visits

Investigation Description	Type	Reference ID	Reviewer	Date Assigned	Status	Action	Delegated to
5% Extended Review	Approval	45677	Nick	10/12/2013	Pending	TBD	TBD

ME Unit - Case Documentation

Investigation Search

Household ID

OR

Retailer

Investigation ID

Each Investigation will need it's own ID and Checklists, Narratives can be associated.

Investigation Check List(s)

Review Item	Comply	Remarks
US Passport	Yes	Expires in two months
Birth Certificate	Yes	Certified copy

We imagine multiple checklists depending on the target of evaluation whether Client, Retailer or internal eval

Investigation Narrative(s)

Text

Task List

Each user of the system shall have his/her own task list. We can see value of a manager, supervisor being able to review the Tasks in his/her Unit.

Personal Task List

Task List Item	Type	Reference ID	Assigned By	Date Assigned	Status	Link	Complete	Delegate
Review Application	Retail	0098	ME Admin	10/12/2013	Pending	Link	Button	Button

Recertification List By Month

Placeholder for example

Random Reviews

Placeholder for example

Reports

Report discussion topics:
1. Retroactives, Replacements, Half Month, PSSI, etc from the ATP. How these relate in the new system is a topic.

Households Active

Island	Demographic Info	Count	Benefits	Household Name

Benefits Accountability

Island	Demographic Info	$ Benefits Authorized	$ Benefits Adjusted	$ Benefits Cancelled	$ Benefits Redeemed	$ Benefits Outstanding

Coupon Book Distribution

Island	Demographic Info	2L	20L	2G	7G	40G	65G

One assumption is that Redemption and Distribution needs to be trackable by book and by coupon

Redemption Report

Island	Demographic	Bank	Retailer	2L	20L	2G	7G	40G	65G	Amount

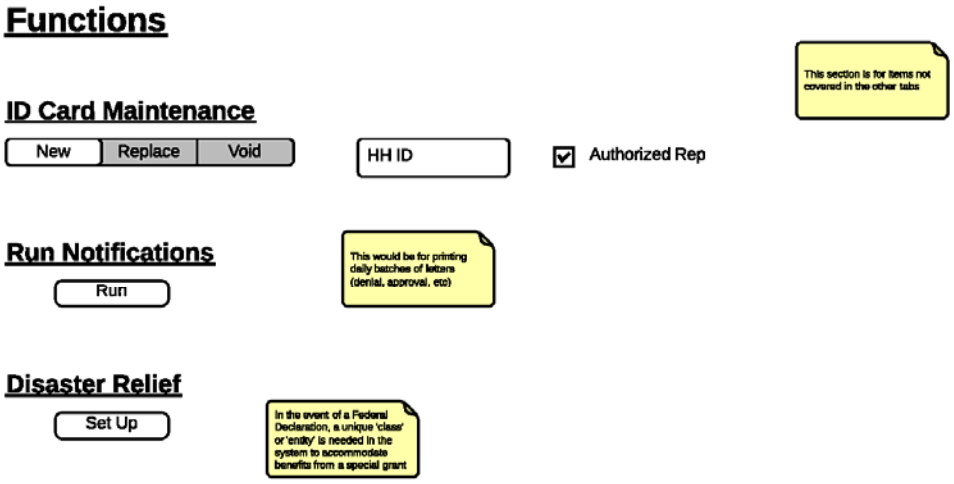
Household Variance Report

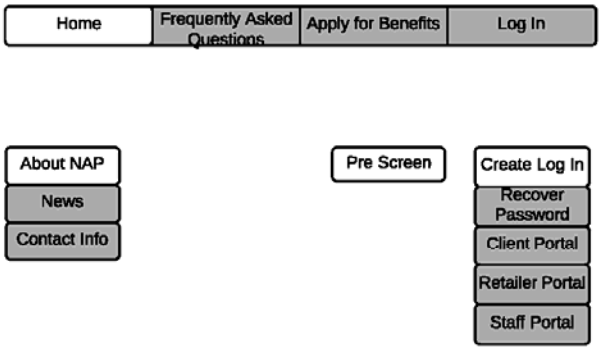
The concept here is a report(s) that will help narrow down Households that need attention

Island	Demographic Info	Duplicates	No pick up	No redemption

ME Unit Report

Island	Demographic Info	Random Review	Non-random Review	Actions


Functions
This section is for items not covered in the other tabs
ID Card Maintenance
New
Replace
Void
HH ID
Authorized Rep
Run Notifications
Run
This would be for printing daily batches of letters (denial, approval, etc)
Disaster Relief
Set Up
In the event of a Federal Declaration, a unique 'class' or 'entity' is needed in the system to accommodate benefits from a special grant


Home
Frequently Asked Questions
Apply for Benefits
Log In
About NAP
News
Contact Info
Pre Screen
Create Log In
Recover Password
Client Portal
Retailer Portal
Staff Portal

Portals

Client Portal

Certify or Re-certify	Ask a question	Change my status	Upload Documentation

My Activity	Date	Status
Application	1/4/2012	Approved
Recertification	12/1/2013	Please re-apply - Link

Retailer Portal

Re-certify	Ask a question	Change my status	Upload Documentation

My Activity	Date	Status
Application	1/4/2012	Approved
Documents Due	12/1/2013	Please upload or bring to office - Link

Staff Portal

We need to find out if we need a 'portal' of if Staff will be able to access their screens from outside

Sample Turnaround Document

DATE:02/25/14 TIME: 08:31:01

COMMONWEALTH OF THE NORTHERN MARIANAS
NUTRITIONAL ASSISTANCE TURNAROUND DOCUMENT

CASE: 00911
NAME: [redacted]
[redacted]
ADDR: P.O.BOX 5089 CHRB
SAIPAN MP 96950-0000
TELE: 322-0345

NO HH : 3 INCOME TYPE: 7
NO EMP: 0
EFF DT: 01/01/14
DSP DT: 12/20/13
ACTION: RC Recertify
DIST : 8 TANAPAG
ETHNIC: CL CAROLINIAN

EARNED : 0
UNEARNED: 0
SSI : 0
GROSS : 0
SOURCE : 7

SQ	NAME	RL	SSN	DOB	AGE	CIT	EX	WR
01	[redacted]	HD	[redacted]	06/11/64	49	US	NC	
03	[redacted]	GD	[redacted]	06/05/11	2	US	NA	
04	[redacted]	DA	[redacted]	06/19/96	17	US	NA	

ATP CALCULATION

GROSS	0
DEDUCTION AMOUNT	0
NET INCOME AMOUNT	0
ATP AMOUNT	348
RETROACTIVE AMOUNT	0
CLAIM PAYMENT AMOUNT	0
UNADJUSTED ATP AMOUNT	348
TOTAL ATP PAID	348
CURRENT CLAIM BALANCE	522
NEW CLAIM BALANCE	522

AUTHORIZED REPRESENTATIVE

01
DOB: / / SSN: - - TEL: -

CERTIFICATION PERIOD: 01/01/14 TO 03/31/14

LAST REVIEW:02/28/13

WORK REGISTRATION

SQ	Ref.Date	Due Date

Z.I.Q.

Reg. Date: 06/17/13 Due Date: 12/17/13

EW CODE 02 LAST CHANGE C ON 01/03/14 BY MOI

UPDATED BY:_____ DATE :_____

APPROVED BY:_____ DATE :_____

INPUTED BY:_____ DATE :_____

VERIFIED BY:_____ DATE :_____

Form FNS-256 Sample

FORM APPROVED OMB NO. 40-R5010

U.S. DEPARTMENT OF AGRICULTURE
FOOD AND NUTRITION SERVICE

PROJECT AREA PARTICIPATION AND COUPON ISSUANCE

(FOOD STAMP PROGRAM)

SEE INSTRUCTIONS ON REVERSE

DUE DATE: Mail original & 1 copy to FNS Regional Office as soon as possible after last day of report month, but no later than 45 days following the last day.

1. STATE	
2. PROJECT AREA	
3. PROJECT CODE	
4. REPORT MONTH AND YEAR	

5. THIS REPORT IS:

☐ ORIGINAL SUBMISSION

OR

_____ REVISION (Number)

6. VALUE OF DOCUMENTED COUPON ISSUANCES *(In ATP States, include all transacted ATP cards)*	7. TOTAL PARTICIPATION	
	A. NUMBER OF HOUSEHOLDS:	B. NUMBER OF PERSONS:

8. REMARKS:

I CERTIFY that this report is correct according to the records of this office.

9. DATE	10. NAME OF AUTHORIZED OFFICIAL	11. TITLE OF AUTHORIZED OFFICIAL

FORM FNS-256 (10-80) *Previous editions obsolete*

FORM APPROVED OMB NO. 40-R5010

U.S. DEPARTMENT OF AGRICULTURE
FOOD AND NUTRITION SERVICE

PROJECT AREA PARTICIPATION AND COUPON ISSUANCE

(FOOD STAMP PROGRAM)

SEE INSTRUCTIONS ON REVERSE

DUE DATE: Mail original & 1 copy to FNS Regional Office as soon as possible after last day of report month, but no later than 45 days following the last day.

1. STATE: CNMI
2. PROJECT AREA: CNMI
3. PROJECT CODE:
4. REPORT MONTH AND YEAR: SEPTEMBER 2013
5. THIS REPORT IS: [X] ORIGINAL SUBMISSION OR _____ REVISIO (Number)

6. VALUE OF DOCUMENTED COUPON ISSUANCES (In ATP States, include all transacted ATP cards): $786,628.00

7. TOTAL PARTICIPATION
A. NUMBER OF HOUSEHOLDS: 3,334
B. NUMBER OF PERSONS: 8,989

8. REMARKS:

TOTAL AUTHORIZED:

HH:	3,422	+	10 =	3,432	Alignment Testings
No. of Persons:	9,159	+	0 =	9,159	
Amount:	$799,440.00	+	$0.00 =	$799,440.00	
88 ATPs Cancelled:	$12,812.00	+	$0.00 =	$12,812.00	

I CERTIFY that this report is correct according to the records of this office.

9. DATE 10/17/13
10. NAME OF AUTHORIZED OFFICIAL: Laura Ogumoro
11. TITLE OF AUTHORIZED OFFICIAL: Secretary, DC&CA

FORM FNS-256 (10-80) *Previous editions obsolete*

HH: 3,422
No. of Persons: 9,159
Amount: $799,440.00
88 ATPs Cancelled: $12,812.00

I CERTIFY that this report is correct according to the records of this office.

9. DATE 10/17/13
10. NAME OF AUTHORIZED OFFICIAL: Laura Ogumoro
11. TITLE OF AUTHORIZED OFFICIAL: Secretary, DC&CA

FORM FNS-256 (10-80) *Previous editions obsolete*

From: Walter I. Macaranas

CNMI NAP
Participation Issuance and Redemption Report
CNMI Nutritional Assistance Program
October 1, 2013 thru September 30, 2014

Months	Total Recipients	$ Value Issued	Cumulative Ave, Issu, Monthly	Issuance Yr. To Date	Amount Redeemed	Cumulative Average Monthly	Redeemed Yr. To Date	Bank Fee	Treasury Deposits	Cumulative Deposits Yr. To Date
Oct-13	8,941	$785,022	$785,022	$785,022	$607,683	$607,683	$607,683			
Nov-13			$392,511	$785,022		$303,842	$607,683			
Dec-13			$261,674	$785,022		$202,561	$607,683			
Jan-14			$196,256	$785,022		$151,921	$607,683			
Feb-14			$157,004	$785,022		$121,537	$607,683			
Mar-14			$130,837	$785,022		$101,281	$607,683			
Apr-14			$112,146	$785,022		$86,812	$607,683			
May-14			$98,128	$785,022		$75,960	$607,683			
Jun-14			$87,225	$785,022		$67,520	$607,683			
Jul-14			$78,502	$785,022		$60,768	$607,683			
Aug-14			$71,366	$785,022		$55,244	$607,683			
Sep-14			$65,419	$785,022		$50,640	$607,683			
		$785,022			$607,683			$0	$0	

Actual Benefits Issued FFY 2013 (Oct.'12 - Sept.'13)	$785,022	Bal C/F 1st Qtr FY-2013	
Actual Redeemed Coupons FFY2013 (Oct.'12 -Sept.'13)	$607,683	Treasury Dep. 1st. - 4th. Qtr FFY-2013	0.00
		Actual Redeemed Coupons FFY 2013	607,683.00
	177,339	B/Fee 1st. - 4th. Qtr FFY 2011	
Note: 11/10 Estimated figure for the Amount Redeemed.			
		Bal., to date	

ISSUANCE AND ACCOUNTABILITY SECTION
DISTRIBUTION REPORT

Date: October 2013

	SAIPAN	ROTA	TINIAN	NORTHERN IS.	TOTAL
ATP'S PRODUCED:	2859	110	141	3	3113
PARTICIPANTS:	7657	314	342	6	8319
AMOUNT ATP'S ISSUED:	$664,467	$26,922	$31,448	$724	$723,561
NO. OF OTC'S ISSUED:	274	8	9	0	291
NO. OF PARTICIPANTS:	719	25	17	0	761
OTC'S AMOUNT ISSUED:	$66,827	$2641	$1992	$0	$71,460
TOTAL # OF AUTH. ATP'S:	3133	118	150	$3	3404
TOTAL PARTICIPANTS:	8376	339	359	6	9080
TOTAL AMOUNT AUTHORIZED:	$731,294	$29,563	$33,440	$724	$795,021.-
NO. OF VOIDED ATP'S:	26	3	0	0	29
NO. OF VOIDED PARTICIPANTS:	37	8	0	0	45
AMOUNT OF VOIDED ATP'S:	$3248	$916	$0	$0	$4164.-
NO. OF UNCLAIMED (VOID) ATPS:	57	3	5	0	65
NO. OF UNCLMD. (VOID) PARTICIPANTS:	83	5	6	0	94
AMOUNT OF UNCLAIMED (VOID) ATPS:	$4731	$383	$721.-	$0	$5,835
VALID ATP'S ISSUED:	3050	112	145	3	3310
TOTAL ACTUAL PARTICIPANTS:	8256	326	353	6	8941
AMOUNT VALID ATP'S ISSUED:	$723,316	$28,264	$32,719.-	$724	$785,022.-

NAME	CASE #	ATP #	HH SIZE	AMOUNT	REMARKS
1. (12) Pre-ATP/OTC Reun		637199			Alignment Testings
2.		637200			
3.		640314			
4.		640315			
5.		640412			
6.		640413			
7.		640487			
8.		640488			
9.		640572			
10.		640573			
11.		640590			
12		640591			

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OCTOBER 2013 VAULT INVENTORY COUNT
(MO / YR)

On October, 2013, a vault inventory count of NAP coupon books was conducted at the Issuance Office. The bulk supply NAP coupon delivery receipts were reviewed against the Issuance Agent's weekly Issuance Report and the following findings are hereby made:

	$ 2 L	$ 20 L	$ 2	$ 7	$ 40	$ 65	TOTAL
A. Previous Ending Months Balance	0	0	0	0	0	0	0
B. Delivered during Current Month	21,000	12,000	9,000	10,000	1200	8000	938,000.
C. Beginning Inventory during Report Month (A+B)	21,000	12,000	9,000	10,000	1200	8,000	938,000
D. Used during Report Month	18,924	9,906	7,215	7,957	1,029	6,781	788,022.
E. Ending Balance for Report Month	2076	2,094	1785	2,043	171	1,219	149,978.
F. Vault Inventory Count	2076	2094	1785	2043	171	1219	149978
G. Difference (E–F)	0	0	0	0	0	0	0

/ / No discrepancies were found.

/ X / Discrepancies were found.

/ X / Overissuance on 2L, 20L, 2R, 7R, 40R, 65R coupons books in the amount of $ 3,000. - (115 (one hundred fifteen) books).

/ / Underissuance on _____ coupons books in the amount of $ _____ (_____ books).

Date: 11/15/13

Prepared by: McKenna
ISSUANCE COORDINATOR

APPENDIX E – ASG ASNAP OVERVIEW, NEW SYSTEM SOW

1. Background Information

American Samoa Government's Department of Human and Social Services (ASG DHSS) is responsible for administering the American Samoa Nutrition Assistance Program (ASNAP) that provides food coupon benefits to the low-income elderly, blind and disabled population in the Territory of American Samoa. The Program is authorized and operates by a Memorandum of Understanding (MOU) with the U.S. Department of Agriculture. It has selective eligibility criteria, and applicants must apply and be certified to receive benefits. A computer program developed in 1999 and implemented in August 2000 facilitates the business flow. It provides for an automated application to encompass operational/phases of the ASNAP that is in line with regulations of the MOU. Hardware infrastructure is in place and supports the major functional areas of the system. Additional detail is provided in Appendix G.

2. Hardware Overview

The ASNAP computer system consists of 15 workstations in a local area network (LAN) connected to a network server in the ASNAP building. The server configuration includes two HP ProLiant DL 380 G5 High Performance, 2 Quad Core Intel Xeon E5365 (3.0 GHZ, 1333MHZFSB, 2X4 MB 1.2) servers. One of the HP ProLiant DL 380 servers is the primary network server while the other server acts as the backup network server. The system supports automation of all ASNAP activities including paperless interview, case analysis and issuance window activities (ID card scanning, coupon creation and transition recording).

The core element of the system architecture is the two servers. The HP ProLiant DL 380 server is configured with 4-HP 146 GB Hot Plug 2.5 SAS 10,000 RPM RAID 5. Both servers are provided with HP 1000-W Redundant Hot-Plug Power Supply (UPS) for protection against power surges and outages. The network is made up of 12 and 24 port Dual Speed (10/100 Mbps) switches for the LAN. The servers and workstations are connected to the network switches with Category 5 high-speed plenum Ethernet cable.

The 15 workstations are made up of thirteen (13) high-end workstations and two (2) low-end workstations. The high-end workstations are HP T1545 PCs with 19" monitors and the low-end workstations are Celeron 400 MHz PCs with 19" monitors. Two systems are configured with 100 Mbps Ethernet cards, 64 MB memory, and Windows NT Workstation with Microsoft Office 2000. The 12 HP T1545 Thin Client are connected to Windows 2000 Server with Microsoft 2003 using the Terminal Server.

The ASNAP issuance windows are outfitted with two (2) hands-free bar code scanners (for scanning ID cards), two (2) HP 9050N printers (for coupon creation), and two (2) slitter/stapler systems (for manually creating the coupon books). An automatic ID card system with digital camera and ID software is also provided for creating client ID cards.

3. Current Processing Environment

The ASNAP system provides full functional support of the business procedures for the following applications:

- Security – necessary security safeguards and processes
- Application process – initial step when a new client comes in to apply for benefits
- Automatic calculation of eligibility
- Reports and queries
- Bar code reader
- Issuance – the process of issuing food coupons to eligible recipients
- Recertification – the process of recertifying clients whose eligibility has expired
- Appeals – the process associated with a client's appeal when benefits are denied
- Claims and Collections – the process of entering claims against clients and documenting the collection of such claims
- Retailer Certification – the process of certifying retailers to receive food coupons
- Redemption and Reconciliation – the process of validating redeemed coupons and reconciling financial information
- Financial – budget, appropriations, and expenditure reports associated with the Program.

A System Administrator Plan manual that provides detailed functional support information on the above is available.

4. Current Situation

The ASNAP serves the low-income elderly, disabled and blind population of approximately 3,900 individuals in the Territory each month. Monthly coupon books valued up to $160 in value are provided monthly, redeemable at approximately 90 local retailers. Eligible individuals are certified from one to six months and benefits are issued monthly. Business is conducted online from application to issuance of benefits. While most retail and redemption functions are conducted online there is a need to re-visit and reassess the current technical support capabilities.

The current system falls short in the following ways:

- Consistent error messages and incomplete processes.
- Lack of a Retailer data structure and screens (currently handled with manual spreadsheets).
- No interface to accounting system.
- No interface with the processing Bank, Bank of Hawaii.
- Does not provide for the scanning and workflow of source documents.

5. New System

Major Objectives of the Proposed System:

- To provide effective and efficient client services and data quality levels.
- To provide timely and accurate fiscal and management reports.

- To provide documentation and staff user training.
- To provide system controls and checks to reduce opportunities for fraud and abuse.

The Department desires a new automated system that will address current issues and also provide a modern automated environment that will improve operations and customer service.

- The new system should be able to provide effective and efficient client services and data quality levels. Example: We would expect to see a reduction in the time between caseworker and applicants by having an efficient way of entering clients into the system.

- The new system should be able to provide timely and accurate fiscal and management reports. Example: The ability to run canned reports from the system and also to be able to run ad hoc reports if system does not provide required reports (reports that MIS can write through the use of SQL or recommended language by vendor) possibly through ODBS connection or recommended DB Editor. Training provided to staff on these report solutions required.

- The new system should be able to provide a system of checks to reduce opportunities for fraud and abuse. Example: Provide a report that can be run by management to identify fraud or abuse. This report should have the capability to be run daily, weekly, and monthly.

- The new system should have a rules engine which will allow for easy changes in program rules, if needed.

- The new system should be able to reconcile the issued food stamp coupons and redeemed coupons from the bank.

In addition, it is envisioned that the system will have the following attributes:

- Configurable on a number of levels. New fields shall be able to be established and used throughout the system without technical assistance. Numerous configuration options will be provided to adjust system functionality. In general, system content (fields, validation rules, screen position, etc) shall be separated from system programming to the greatest extent possible.

- Data shall be accessible to end users. The SQL database shall be accessible to users through the use of Excel downloads and user-configurable reporting tools. Reporting requirements are to be met without technical assistance. This shall include the ability to create re-useable ‘views’ that simplify the merging of multiple relational tables (Ex Client tables and Issuance tables)

- Extensive use of document scanning, electronic signatures and workflow shall be included to improve operations.

- Extensive use of workflow functionality characterized by electronic log showing the assignment and performance on client files. For example, an Eligibility case will be initiated by a Worker, then electronically forwarded to the Manager for review and approval, then routed back to the Worker. All of this shall be recorded in a workflow log.

6. Scope of Work Components

The NEW SYSTEM is the integrated computer system to meet the Functional Specifications in the documents submitted including but not limited to the Detail Requirements Document and the Functional Requirements Document. The system is comprised of the following:

- any software developed or provided by the vendor
- specifications for required hardware
- the Software Development Environment
- access to all underlying source code and documentation
- Associated System Documentation.

Vendor is responsible for the scope of work to be included in the NEW SYSTEM Development Project as listed below:

- application software and documentation
- the identification of equipment requirements including scanners
- the identification of packaged software required to run the application
- the setup of a staging area, a beta test.
- Project management of the NEW SYSTEM development and testing. This will include the assigning of a Project Manager and the maintenance of project management plan and project issues and any other required project management documents.
- Identification and monitoring the status of any required subcontractor deliverables
- NEW SYSTEM application software design and development as outlined in RFP Requirements documents.
- New System application software testing (includes unit testing, integration testing, and system testing, and support for The Department's Acceptance Testing and Beta Testing)
- NEW SYSTEM software development environment
- NEW SYSTEM application source code
- NEW SYSTEM application documentation
- Development and implementation of comprehensive backup plan – including an off-island backup
- Preparation of user aids and instructor's training guide

- "Train the Trainer" development and training (at the Department's site or via remote)
- Initial deployment of NEW SYSTEM application software and hardware and backup process
- Proposal of on-going annual maintenance

7. Scope of Work to be Excluded

The following items are specifically outside the scope of this project from the awarded Vendor's perspective (unless specified otherwise in Vendor's proposal):

- Acquisition of NEW SYSTEM hardware, operating system and networking software (e.g., Windows NTAS), communications.
- Acquisition of purchased software licenses for NEW SYSTEM production sites (e.g., Oracle, SQL etc)
- Site preparation
- Provision of acceptance test data and Beta test data
- Conducting acceptance testing
- Deployment of hardware, system software, communications (except for Beta test)
- Note: Direction and documentation from the awarded Respondent Vendor on the above items is understood to be 'IN SCOPE'.

8. System Performance Requirements

Overview

As a result of terminations due to deaths, relocation or other changes, the number of participants remains constant at approximately 3,900. Workload is highest during the first week of each month with the lowest at the end. Generally, the program is expected to maintain the current size with minor growth of roughly 5% per year through 2020.

The NEW SYSTEM must meet the demands of the current number of participants, as well as be scalable to the degree indicated.

Reliability

System downtime will result in the following consequences:

- Loss of employee productivity
- Reduction in quality of client service (longer wait time, re-schedule appointments, delay in issuance)

The NEW SYSTEM shall revert to a mirror that is on the island of American Samoa within 30 minutes of a failure.

In the event of data corruption, the restore point shall be one hour or less, meaning at a maximum, only one hour of data entry could be lost. Longer revert times and restore points are acceptable if cost-justified.

General Performance

It is preferred that speed of screen loads be sub-second and reports be less than 5 seconds for first page.

Capacity

We expect the NEW SYSTEM to have approximately ten users logged in a time. This may peak at about 15 to 20 users. There will be at least 4,000 "client facing" transactions involving multiple database hits per month. In addition there will be retailer redemption activity and multiple reports run for accounting purposes.

9. Agencies and Programs That Will Use the System

ASNAP is not currently interfaced with other agencies or programs and none are being planned.

APPENDIX F- ASG REQUIREMENTS RESPONSE

Instructions:

4. Assess your solution against each requirement according to the following risk scale:

1=standard system feature, no configuration required
2=configuration only required, no development required
3=minor development, simple architecture
4=full development required from scratch
5=not possible, will not deliver

5. Assess your solution against an effort scale of your definition, for example:

Small = less than 2 weeks effort to get to production
Medium = less than 4 weeks effort to get to production
Large = more than 4 weeks effort to get to production

6. Provide detail on how you will address requirement in Vendor Notes field.

Reference	Map Reference	Requirement	Requirement Notes	Risk	Effort	Vendor Notes
Functional Area: Certification/Eligibility						
Map 01 - Eligibility - New Client Process						
CE-NC-01	Map 01 "As Is"	Data entry tables, screens for Client record	This will require either a screen to screen comparison between the current ASNAP Client screens and the NEW SYSTEM screens, or a wire frame of the NEW SYSTEM screens prior to any custom development. The screen page in the map doc may be used for this.			

Reference	Map Reference	Requirement	Requirement Notes	Risk	Effort	Vendor Notes
CE-NC-02	Map 01 "As Is"	Data entry screens and tables for Application Process	A detail review of the current ASNAP system, plus a review with the Eligibility Manager of any improvements not in the Maps along with a wire frame of any major changes prior to any custom development			
CE-NC-03	Map 01 "As Is"	Data entry screens and tables sufficient for recording notes about Client, Application and review processes	similar approach to above			
CE-NC-04	Map 01 "As Is"	Data entry screens and tables sufficient for recording approval, decline, review decisions by Manager	similar approach to above			
CE-NC-05	Map 01 "As Is"	Data entry screens and tables sufficient for recording benefit assignment and provisioning the issuance of coupons for the approved period which is typically but not always six months	similar approach to above			
CE-NC-06	Map 01 "To Be"	Provide for the steps outlined in the Map 01 To Be Requirements				
CE-NC-07	Map 01 "To Be"	On Line Application outside the network that allows for client user id issuance, initial	This will require an external database, web server and a web service or similar solution to transport externally created data to the internal system in			

Reference	Map Reference	Requirement	Requirement Notes	Risk	Effort	Vendor Notes
		application and provision of checklist	the form of a pending application			
CE-NC-08	Map 01 "To Be"	The on-line application and check list need to be configurable	The online application will likely change; a configurable layout is important for this reason.			
CE-NC-09	Map 01 "To Be"	Shared network scanners to capture and immediately attach to Client record, add notes, and flag as acceptable	A combination of hardware (scanner) and software (doc acquire, attach, indexing, viewing, etc.) is needed. The vendor(s) need to be consulted early in the RFP process about how they will need us to describe this feature.			
CE-NC-10	Map 01 "To Be"	Work Flow engine that supports tracking, approving and forwarding of Client case records	More detail is needed here to describe the specifics of how the user base will be organized into roles. Initially, we can assume there will be a Manager role, Worker role and an Admin role			
CE-NC-11	Map 01 "To Be"	Bar Code on outbound print documents, readable upon return of document during a window visit	Other: This feature will involve working with the software vendor to add bar coding as a font, making a dynamic bar code on printed documents that may be read by the scanner to pull up a client's record(s).			
CE-NC-12	Map 01 "To Be"	Camera for Photo ID and for storage with Client record in system	There is concern about pricing for this equipment. Other: A combination scanner/camera/bar code reader would be ideal.			
CE-NC-13	Map 01 "To Be"	Work Flow engine to support forwarding Client record with picture for approval by Manager toward end of approval	This step will require the photo to be acquired at the EW window, then the photo electronically attached to the client and application record, forwarded to the Manager for			

Reference	Map Reference	Requirement	Requirement Notes	Risk	Effort	Vendor Notes
		process. Ensure that system has flexibility to reroute to alternate signatory.	approval, then return to EW.			
CE-NC-13	Map 01 "To Be"	Facilitate Card issuance with primary number, suffix designating issue, re-issue sequentially. Ex 9878-01, 9878-02, etc.	An auto seed generator that manages the sequential numbers will be required of the new system. In addition to supporting this number sequence scheme, the system needs to have a flag for the latest issued card being the valid card, and voiding all prior issuances. This means the system will reject prior instances when swiped at the window.			
CE-NC-14	Not Mapped	A flexible, configurable multi-tab, Q and A interview screen. This screen will be a fully enclosed solution for capturing all information necessary to completing the certification process	This aspect should be approached by making screen shots of the existing screens, marking them up, creating wireframe new screen(s), then presenting to the software vendor			
CE-NC-15	Not Mapped	Cloak Social Security number on all interfaces except when granted in security role	Other: A role based security with field level control will address this			
CE-NC-16	Not Mapped	Electronically route New Client applications for approval to Manager, then back to Eligibility Worker along with an electronic log of approvals and actions.	A work flow engine similar to IFAS (ASG accounting solution) Work Flow is needed to trigger approval routings based on the Eligibility Worker completing the application. A paper file may still exist depending on electronic doc scanning.			

Reference	Map Reference	Requirement	Requirement Notes	Risk	Effort	Vendor Notes
		This feature replaces the Contact Sheet				
CE-NC-17	Not Mapped	Provide for record keeping of phone calls made to client during the application process	A tab associated with the New Application screens will be required.			
CE-NC-18	Not Mapped	Replace client signature, two copies with electronic signature	Special Hardware: each window should have a hardware solution to capture signatures. A unit that combines the camera, scanner, bar code reader with the signature capture would be ideal.			
CE-NC-19	Not Mapped	Provide for automatically generated, customizable deny and approve letters	Using the configurable report tool that must be provided with the software, a standard letter with merge capabilities will be created. A daily batch of all automated letters with log posting to the client application screen will be needed for this. A button or other tool much be available on the Client screen to order these letters			
CE-NC-20	Not Mapped	Provide scheduling program for orientation.				
CE-NC-21	Not Mapped	Appropriate validation using configurable business rules: 1. No duplicate social security numbers				

Map 02 - Eligibility - Recertification Process						
CE-RE-01	Map 02 "As Is"	Data entry screen(s) and table(s) to support entry of Income	This will require either a screen to screen comparison between the current ASNAP Client screens and the NEW SYSTEM screens, or a wire frame of the NEW SYSTEM screens prior to any custom development. The Screen page in the Maps document will be used for this			
CE-RE-02	Map 02 "As Is"	Data entry screen(s) and table(s) to support entry of outbound phone call information	This will require either a screen to screen comparison between the current ASNAP Client screens and the NEW SYSTEM screens, or a wire frame of the NEW SYSTEM screens prior to any custom development. The Screen page in the Maps document will be used for this			
CE-RE-03	Map 02 "To Be"	Provide for the steps outlined in the Map 02 To Be Requirements				
CE-RE-04	Map 02 "To Be"	Warn message when user locates a client screen based on business rule involving existing field(s) on that or other screen(s)	This will require an xml or similar based document to allow configuration of a warn defined by the following: screen, table, field, value or rule, message content. A specific example is an alert based on an expiring immigration card			

CE-RE-05	Map 02 "To Be"	Menu based access to pre-configured, mail merge style letters with extendable content capabilities such as check lists.	This will require that a Word or similar document may be used as a template with mapping to database fields. The system will need to be configurable to add access button(s) both in a letter output screen and from selected screen(s) within the system such as the client recertification screen. A collection of merge letters should be asked for by all Functional Areas so that we have a collection			
CE-RE-06	Map 02 "To Be"	Ability to scan document(s) from any workstation, attach to any screen, notate, etc	Special Hardware: This will require easy to use, somewhat portable equipment that can be used effectively while a client is at the service window. The scan rate needs to be fairly rapid. The capture aspect needs to allow for formatting of the document. A 'scan document' tool bar button needs to be available on each screen in the system and provision automatic attaching to the requesting screen			
CE-RE-07	Map 02 "To Be"	Ability to assign a screen as a Work Flow Task item to a Manager or other person in the system	This will require a fairly straight forward Work Flow engine that will provide each user with a task list, a Work Flow 'model' and a Work Flow log that maintains a reportable list of delegator, delegatee, date/time stamp, expiration, and related work flow capabilities			

CE-RE-08	Not Mapped	Audit capability for selected, high-importance field(s) on screens. A reportable table that provides prior value, new value, user id, date/time stamp. Field(s) to be audited is a configurable item	This will require a table for reporting high-importance changes to fields. The configuration tool will need to allow for choosing screen and field. The result will be a report that shows the 'history' of a given field along with user id, prior values, etc. A list of fields to participate in this feature needs to be developed and maintained.			
CE-RE-09	Not Mapped	Data entry screen(s) and table(s) that allow for entry of recertification information	This will require either a screen to screen comparison between the current ASNAP Client screens and the NEW SYSTEM screens, or a wire frame of the NEW SYSTEM screens prior to any custom development. The Screen page in the Maps document will be used for this			
CE-RE-10	Not Mapped	Automate the request to the Social Security Administration for benefits information by automating creation of a flat file and submit to SSA electronically	Other: This feature will require research with the Social Security Administration to determine how request for benefit amounts can be automated. An interface to electronically update the systems income records will be required. The software must support output of comma-delimited or other format text file. The process of providing the file to SSA must be user-friendly.			
CE-RE-11	Not Mapped	Attach documents to certification approval screen	Similar to other attachment requirements, the attach feature must be a button or other tool accessible from each screen with automatic attaching to the requesting screen			

CE-RE-12	Not Mapped	Trigger-based screen warns, blocks based on configurable rules engine	Rules to be applied include but not limited to: warn when immigration expiration is within six months			

Map 03 - Eligibility - Overissuance						
CE-OI-01	Map 03 "As Is"	Screen and document creation for Promissory note	This will require that a Word or similar document may be used as a template with mapping to database fields. This output will be more complex than most of the templates. A template should be created in Word along with identification of fields to map data from			
CE-OI-02	Map 03 "As Is"	Warning message when user navigates to a client based on business rule involving existing field(s) on that or other screen(s). For example, if a client has an immigration expiration within 30 days, pop up warning should appear.	This will require the same functionality called out in preceding lines involving warns			
CE-OI-03	Map 03 "As Is"	Screen and document creation for Re-Coop letter	This will require the same functionality called out above for a document template			
CE-OI-04	Map 03 "To Be"	Provide for the steps outlined in the Map 03 To Be Requirements				
CE-OI-05	Not Mapped	A Work Flow task list queue viewable by assigned workers for purpose of calling past	This will require a Scheduled work flow to run each night, then have the work flow distribute the list of late pay clients to a specific work queue.			

		due Installment Plan clients. This will be a warm and friendly reminder call. The ability to document the results of the call is needed				
CE-OI-05	Not Mapped	Data table(s) and screen(s) to support data entry of Income over a given period and the Over-issuance pay-back modalities including Re-coop, lump sum, and installment	Other: Important to emphasize is the need for configurable screens with integrated data structure without the need for sql or related technical skills. These screens will require either a screen shot from ASNAP with mark up, or a wire frame showing the fields and how they map to print documents			
CE-OI-06	Not Mapped	Capability to enter receipts for the Promissory Note	A screen or separate tab for this purpose to be integrated into NEW SYSTEM.			

Map 04 - Eligibility - Benefit Restoration Process						
CE-BR-01	Map 04 "As Is"	Data table(s) and screen(s) to support data entry of Benefit Restoration.	This will require either a new feature that allows for exception to Benefit Assignment; or, the ability to modify and set back temporarily the benefit assignment amount. A wire frame or screen shot of the current Benefit Restoration is needed to ensure all required fields are in the new system. To further nail down the accountability, an exception table and screen that logs and displays deviations from the standard benefit configuration would be desirable. Discuss with software vendor.			

CE-BR-02	Map 04 "As Is"	Ability to override configured Benefit and restore to original	This may overlap with the above requirement, and the TO BE would be more favorable to have as an exception instead of changing the benefit config			
CE-BR-03	Map 04 "To Be"	Provide for the steps outlined in the Map 04 To Be Requirements				
CE-BR-04	Map 04 "To Be"	Ability to configure reason, status or other code collections and configure to be placed as needed on screen(s) of choice. For example a restoration reason code.	This will require an administrator tool to configure the values in the status code drop down or other pick list GUI element.			
CE-BR-05	Map 04 "To Be"	Work Flow solution that routes the restoration of benefits request between EW and Manager	This will require a generic Work Flow framework that can route client restoration of benefits via task list			
CE-BR-06	Not Mapped	Provide reportable data store for denial codes	This may overlap with above requirements.			
CE-BR-07	Not Mapped	In a "re-coop" scenario, automatically adjust the pay-down amount	This will require a custom screen for "re-coop" with a grid representing a pay down schedule from future benefits. The pay-down portion will need to be shown as a transaction under the standard benefit for each month			
CE-BR-08	Not Mapped	Automate creation of Benefit Restoration notification letter	This feature will require coordination between the screen and the output letter. Data structure will be one-to-many in with client information, pay back schedule by month			

CE-BR-09	Not Mapped	Assure that any change in benefits as a result of Benefit Restoration is set back after the exception	By changing the method of handling the temporary change by NOT changing the benefit assignment, this will be addressed			
CE-BR-10	Not Mapped	Provide a data store for reportable reason codes to replace narratives	The software will be required to allow for configuring reason codes to be used in screens			
CE-BR-11	Not Mapped	Provide an alert from within the over issuance process, warning when the Immigration Card expiration is nearing expiration	A standard alert/block rules engine organized by screen, field and rule is required of the software and will address this			
CE-BR-12	Not Mapped	Provide a change log, user, client, screen, field, date, prior value, current value	The software will be required to track and report on changes to high-impact fields identified by ASG.			
CE-BR-13	Not Mapped	Automate creation of re-certification letter with check list	The software must have a configurable merge letter capability with access from the client or other screen			
CE-BR-14	Not Mapped	Provide a tickler system organized by client, action, date to remind workers of items requiring attention at end of month	Built into the software, a tickler button or other tool that provides for a popup to assign text description, follow up date. A tickler reminder for each user is required as is a tickler screen with links to the client screen			

Map 05 - Eligibility - End of Month						
CE-EM-01	Map 05 "To Be"	Provide for the steps outlined in the Map 05 To Be Requirements				

CE-EM-02	Map 05 "To Be"	A Scheduled Work Flow automation that will find, close and report completion of clients that are due to renew and have not initiated the process.	This will begin with the automatic creation of a list of clients that have not renewed, then that list will need to drive the automatic closing of these clients. Some analysis and planning is needed to determine how to actually do this in the new system, will it be flag in the benefit assign? The essential elements of this solution are a 1) a rules engine 2) a workflow automation engine 3) a log of all automated activity 4) a manual roll back (single action or group of actions			
CE-EM-03	Not Mapped	Incomplete applications, business rule: app status not approved, not rejected, change status to 'closed due to inactivity'. This would be a scheduled work flow that would run each evening, and detect inactive applications that are over 30 days old.	This may expand to include online applications as well			

Functional Area: Issuance						
Map 06 - Issuance - Coupon Creation/Issuance						
IS-CP-01	Map 06 "As Is"	Ability to print coupons based on table and screen that stores Benefit Assignment. This will possibly include a cover sheet(s)	The current ASNAP screen for doing this should be screen shot or wire framed to ensure we have all requirements for the new system			

IS-CP-02	Map 06 "As Is"	Manage completion of the print job. The system needs to either complete a broken print job, or void the partial job and start over.	Other: This will require coordination with the software company that provides the solution. Ideally, we want a software solution to manage print failures in such a way that print jobs are queued up in smaller chunks and monitored for completion. Analysis will include but not be limited to a print manager that ensures full completion of print jobs. Use of existing printers would be a cost advantage, but new hardware should be explored. The time line to EBIT will have an impact on decisions involving new hardware			
IS-CP-03	Map 06 "As Is"	More efficient way of printing a reminder for renewal or a re-coup notice	More analysis on this is needed once we get further along in the Requirements process. Possible solutions would be to 1) have the Issuance Worker receive an on-screen alert with these reminders 2) Print the reminders on the coupon jackets instead of a separate sheet. 3) Have the first coupon be a bar coded 'ticket' for the client to bring in for renewal. NOTE: Going to EBT will require a re-visit of this topic to come up with a method to communicate with the clients			
IS-CP-04	Map 06 "As Is"	Electronic signature verifying receipt	Special Hardware: This will require a piece of equipment that shows the ID, Name of the Client and the amount of the coupons along with a signature instrument to have the client certify receipt.			

IS-CP-05	Map 06 "As Is"	A 'cancel and replace' feature and process needs to be crafted	This is a little bit of a repeat of earlier requirements; the general pieces are: 1) prevention of errors thru a software solution to manage print jobs that jams do not happen in the middle of print jobs which may be prevented by smaller print queues, 2) a commit/rollback solution that immediately voids any partial print jobs and reruns a new job, 3) other ideas from talking with printer experts			
IS-CP-06	Map 06 "To Be"	Provide for the steps outlined in the Map 06 To Be Requirements				
IS-CP-07	Map 06 "To Be"	Addition of MICR encoding that will be readable here in the DHSS office as the coupons are returned daily from the bank	At a minimum the MICR encoding needs to be the month or issuance, month of redemption, denomination, and if at all possible the retailer. The retailer part is most challenging in that an OCR would have to pick up the stamped Retailer number			
IS-CP-08	Not Mapped	On screen alerts for Worker to communicate to Client. Print alerts on coupon header would be helpful	This feature will require a rules engine, configurable alerts, and a pop up that triggers when coupons are printed. WARNIING: A EBIT solution needs to be considered when the coupons will no longer be printed.			
IS-CP-09	Not Mapped	Provide for electronic signature of print receipt that is currently signed twice by the client	Special hardware: An electronic signature pad at the coupon distribution office will be required along with an event log documenting the date/time of signature. This feature may not be cost efficient if we go to EBT in the near future			

IS-CP-10	Not Mapped	Print function in remote island locations by a program worker	A print feature accessible over a secure internet connection, with consideration of island bandwidth limitations along with error handling rollback will address this. Given that we are going to EBIT, this may not be cost efficient. However, we may want to explore a trial of using PDF via email to the outer island representative. This would require significant controls to protect from fraudulent use. For example, the PDF of coupons could be emailed, then the return email would be the receipt. Non receipted coupons, would be grounds for suspension of benefits. This process could remain semi-manual to help reduce costs and to increase security.			
IS-CP-11	Not Mapped	Provide for future conversion from use of coupons to an Electronic Benefit Transaction (EBT) card	Working with the Bank, software vendor and equipment vendor provide for the necessary data standards to interact with an EBT process			
IS-CP-12	Not Mapped	Provide for void and reprint of coupons with controls to assure that extra coupons are not created	A screen dedicated to identifying, voiding and reprinting a batch will address this.			
IS-CP-13	Not Mapped	Provide an electronic log sheet of activity by worker for manager review by day, week and month	A transaction table in the system that logs each issuance of coupons by worker, along with any errors or corrections. This data will need to provide reporting by worker, head count, coupon $ value			

IS-CP-14	Not Mapped	Ensure that the print process ALWAYS provides accurate reconciliation between the receipt and the coupons	A roll back feature that triggers in the event of a print failure, a required void function for interrupted prints and a more reliable print queue arrangement will assure this			
IS-CP-15	Not Mapped	Allow for override of benefit assignment without changing assignment record. This feature will require a Manager approval via work flow task list	A table(s) dedicated to logging and managing overrides is required of the software. This will preclude the need to change the assignment. A work flow model will be required.			

Map 07 - Issuance - Cancel and Replace						
IS-CR-01	Map 07 "To Be"	Provide for the steps outlined in the Map 07 To Be Requirements				
IS-CR-02	Not Mapped	A 'cancel and replace' feature and process needs to be crafted	This is a little bit of a repeat of earlier requirements; the general pieces are: 1) prevention of errors thru a software solution to manage print jobs that jams do not happen in the middle of print jobs which may be prevented by smaller print queues, 2) a commit/rollback solution that immediately voids any partial print jobs and reruns a new job, 3) other ideas from talking with printer experts			

Map 08 - Issuance End of Day Reporting						
IS-ED-01	Map 08 "To Be"	A work flow solution that creates daily and monthly logs of activity. These reports will appear on the task list of 'subscribers' to the reports	This will require a scheduled work flow each business day that runs and stores an archive copy of the daily and monthly report. This will require a sample or specification be created in order to build the new reports from. The data structure will include at a minimum, activity, amount, worker, date/time. Additional fields will be configurable. Configurable reports are required			
IS-ED-02	Not Mapped	Provide for the steps outlined in the Map 08 To Be Requirements				

Map 09 - Issuance - End of Month Reporting						
IS-EM-01	Not Mapped	Replace Excel-based accounting system with COTS accounting solution or IFAS	IFAS would be gap-free assuming all transactions can be input on a daily or near daily basis. This may be achieved thru a combination or web forms, interfaces for daily coupon redemptions, purchases for the department. This will involve electronic transfer of purchase, issuance and redemption to IFAS using a combination of web forms, electronic file transfers.			
IS-EM-02	Not Mapped	Provide for the steps outlined in the Map 09 To Be Requirements				

Map 10 - Retailer Lifecycle						
RT-LF-01	Map 10 "As Is"	Table(s) and screen(s) to support entry of new retailer applicant approval and set up information	This will require either a screen shot of existing screen(s) and/or a wireframe to be used to assure that the new system accommodates all necessary fields			
RT-LF-02	Map 10 "As Is"	Table(s) and screen(s) to support tracking phone calls and hand deliveries of notifications	this will require a contact, notes section in the software that is bound to the client screen			
RT-LF-03	Map 10 "As Is"	Ability to print the retailer card from the approval screen	This will require a configurable Word or similar format template			
RT-LF-04	Map 10 "To Be"	Provide for the steps outlined in the Map 10 To Be Requirements				
RT-LF-05	Map 10 "To Be"	An electronic check list associated with the retailer application screens				
RT-LF-06	Map 10 "To Be"	An online portal for retailers to log in to and complete the application and document portion of their renewal process	This will require an outside facing Internet presence with the appropriate security such as self-managed user id and password and secure socket layer (SSL). The Internet portal will need to provide the screen(s) necessary to support the application information and attachments; a workflow solution is also required to route externally created applications to the correct worker(s) for handling. Other: IT will			

			be involved with the networking/firewall aspects of hosting an external portal			
RT-LF-07	Not Mapped	Provide a data store for Compliance Test Buys with auto population from Auditing Department.	A custom table to be provided with an interface to accept an Excel file for data entry. The interface and the custom table need the following fields at a minimum: Retailer ID, Test Date, Pass/Fail, Comments. An even better solution will be explored by meeting with the Auditing Dept to identify more streamline way to acquire auditing results			
RT-LF-08	Not Mapped	Scan and storage of supporting documents with easy access from Client screen	Much like the other document attachment requirements, this feature will be accessed from within a screen and the attachment(s) will be viewable, downloadable.			
RT-LF-09	Not Mapped	On Screen Checklist of required documents and steps with Print out	TBD			
RT-LF-10	Not Mapped	Automatically generate 1st, 2nd and 3rd warning letters	TBD			

Map 11 - Retailer - Redemption						
RT-RD-01	Map 11 "To Be"	Provide for the steps outlined in the Map 11 To Be Requirements				

RT-RD-02	Map 11 "To Be"	Work with Bank of Hawaii to provide a daily redemption file including Client ID, dollar mount, date, Retailer ID.	A MICR or other e-readable paper medium to automate data collection by the Bank, then compiled daily into a file with an interface to the new system. Additional pieces of information are Issue month, Redeem month, Amount/Denomination, Serial number, Retailer ID			
RTRD-03	Map 11 "To Be"	Data mart and configurable reporting tool to store transactional data from the redemptions, issuances of coupons	The datamart solution will consist of tables for all coupons issues and for all redemptions. Summary level data tables will be in place.			
RT-RD-04	Not Mapped	Replace manual spreadsheet check book record keeping with Bank to IFAS daily interface and IFAS reports from Bank Reconciliation in IFAS	Other: This will require that a file from the bank (or from the MICR-related process specified above) will each business day will update IFAS with deposits, then a report from IFAS will need to be available to Seuga at DHSS. An IFAS work flow model or similar solution will update the file content to IFAS, thus providing up to date reports.			

Map 12 - Retailer - Compliance						
RT-CP-01	Map 12 "To Be"	Provide for the steps outlined in the Map 12 To Be Requirements				
RT-CP-02	Map 12 "To Be"	Nightly work flow that retrieves the retailers with > 10% of sales from coupons and assigns to workers for review and handling	A work flow model/process is required that retrieves a list based on a configured criteria. The model add records to an "issues" table (or similar name) and equally distributes the record(s) to workers based on a			

			'round robin' modality.			
RT-CP-03	Map 12 "To Be"	Table(s) and screen(s) to support handling and tracking of retailer sales review	A table(s) dedicated to ordering, tracking and reporting on retailer sales review will be configured along with screen(s) to support entry results.			
RT-CP-04	Map 12 "To Be"	Further ticklers configurable by client to trigger up follow ups on testing, re-testing at discretion of the worker	The tickler system which is required within the software will enforce follow up.			

Accounting						
Map 13 - Accounting - Budget Negotiations						
AC-BN-01	Not Mapped	For the Budget Negotiations process, provide Income Denial Code Report showing Id, Name, Income $, Denial Code	The data mart solution explained above will provide the necessary data abstraction.			
AC-BN-02	Not Mapped	Provide for the steps outlined in the Map 13 To Be Requirements				

Map 14 - Accounting - Internal Reporting						
AC-IR-01	Map 14 "To Be"	Provide for the steps outlined in the Map 14 To Be Requirements				
AC-IR-02	Map 14 "To Be"	Datamart solution combine IFAS, new system data into views for reporting purposes	This involves identifying and centralizing instances of the existing data which include 1)IFAS GL data 2) IFAS Purchasing and Encumbrance			

			data 3) Issuance data 4) Redemption data			
AC-IR-03	Map 14 "To Be"	Web Form to streamline data entry to IFAS	IFAS Purchasing and GL data is entered in near real time using web forms and electronic uploads			
AC-IR-04	Map 14 "To Be"	Retrieve IFAS data electronically	This will require that bank information purchase information will need to be input same day thru SunGard Web Form and SunGard Work Flow. Approvals by Treasury will be part of the process			
AC-IR-05	Map 14 "To Be"	A Data Mart solution to consolidate multiple sources of data into a simpler, report friendly data view	Other: the data mart solution will be spec'ed in detail based on thorough analysis of the existing Excel 'binder'. This effort will be coordinated after 'go live' in order to not let it stand in the way of forward progress. The existing Binder will be used in parallel until the data mart is validated. This will require analysis and time. We currently believe this development should occur after 'go live' and that the current process run in parallel until the new data mart solution is successful.			
AC-IR-06	Map 14 "To Be"	Automation of GL and Payroll data from IFAS	This will require a SunGard Work Flow that extracts the data to a text file			
AC-IR-07	Map 14 "To Be"	Automation of extract of redemption information	This requirement depends on a MICR reader/ coupon counter that will run daily and automatically create a flat file with redemption information			

AC-IR-08	Not Mapped	IFAS Web Forms for Purchasing and Journal Entry	The currently in development POPRFORM and a new Journal Entry web form will create IFAS entries for Treasury approval. A Purchasing Post report will be required to provide visibility to DHSS on the status and outcome of the purchase requests			
AC-IR-09	Not Mapped	Promissory Note partial payments	The system shall allow for partial Promissory Note payments .			

Information Technology						
Map 15 - Information Technology Functions						
IT-FC-01	Not Mapped	Off site redundancy, off-island back up	Martin believes the on site and the off site mirror. Disk space is 136 GB. The workstations would need to be able to see the internet and vpn to the mirrow for disaster recovery purposes			
IT-FC-02	Not Mapped	Web-based interface, client server would be OK	client server is OK, but web based would results in lower maintenance			
IT-FC-03	Not Mapped	External access - limited access for off-site representatives is preferred while maintaining a closed network approach	ASNAP is presently a standalone network			
IT-FC-04	Not Mapped	Security - adequate functionality to support role-based security at the screen and field level	Presently all of the workstations are wired as a standalone network, thin client is of interest to Martin. Consider a vpn			
IT-FC-05	Not Mapped	Network - compatibility across the DHSS network wired and wireless	stand alone, cat 5 wiring, Martin suggested wireless. Currently routers are pretty cheap			

IT-FC-06	Not Mapped	Compatibility with current server and printer hardware is desired.	Existing printers are pretty expensive, they are 7 years old. A micr cartridge could be added, but according to Martin the toner company said we might be able to use existing toner. There is special card stock for the coupons. Shipped from Document Security Systems, Rochester NY			
IT-FC-07	Not Mapped	Data center considerations / limitations: none are known that will impact this system	Ester setting up a data center.			
IT-FC-08	Not Mapped	WAN/LAN bandwidth requirements: Ethernet 10/100 is the current environment	100/10 mps in office, 10/100 between buildings, moving to fiber at some point, Manual printing not known if Internet ASTCA is governance, speed may be issue,			
IT-FC-09	Not Mapped	System virtualization: none is expected to be used in this solution	DHSS likes terminal services for the clients. Basically an image download. DHSS would favor that.			
IT-FC-10	Not Mapped	System resiliency, sustainability, redundancy and disaster recovery				
IT-FC-11	Not Mapped	Power and cooling considerations: No changes to the current environment are anticipated	Battery back up goes off if power goes off and air conditioning off.			
IT-FC-12	Not Mapped	Maintenance and support considerations				
IT-FC-13	Not Mapped	Budget considerations: None are known at this time				

IT-FC-14	Not Mapped	Reporting capabilities: system shall provide for training in a reasonably easy to use reporting tool. The tool shall be delivered with pre-configured views that leverage the data structure along with reporting requirements				
IT-FC-15	Not Mapped	Database structure: will support report writing and all screens in a logical way following the business requirements				
IT-FC-16	Not Mapped	Email: an integrated email system (perhaps Exchange Server or Gmail) would be desired, especially a system that would provide collaboration tools in alignment with the work flow functions called out for in this document				
IT-FC-17	Not Mapped	Provide for the steps outlined in the Map 14 To Be Requirements				

APPENDIX G - ASG FUNCTIONAL MAPS

BPR Icon Legend

A step in the business process.

Arrow - the direction of flow within the process.

A paper in the business process; can represent an approval form to be signed, a report, an invoice, etc.

A decision point in process.

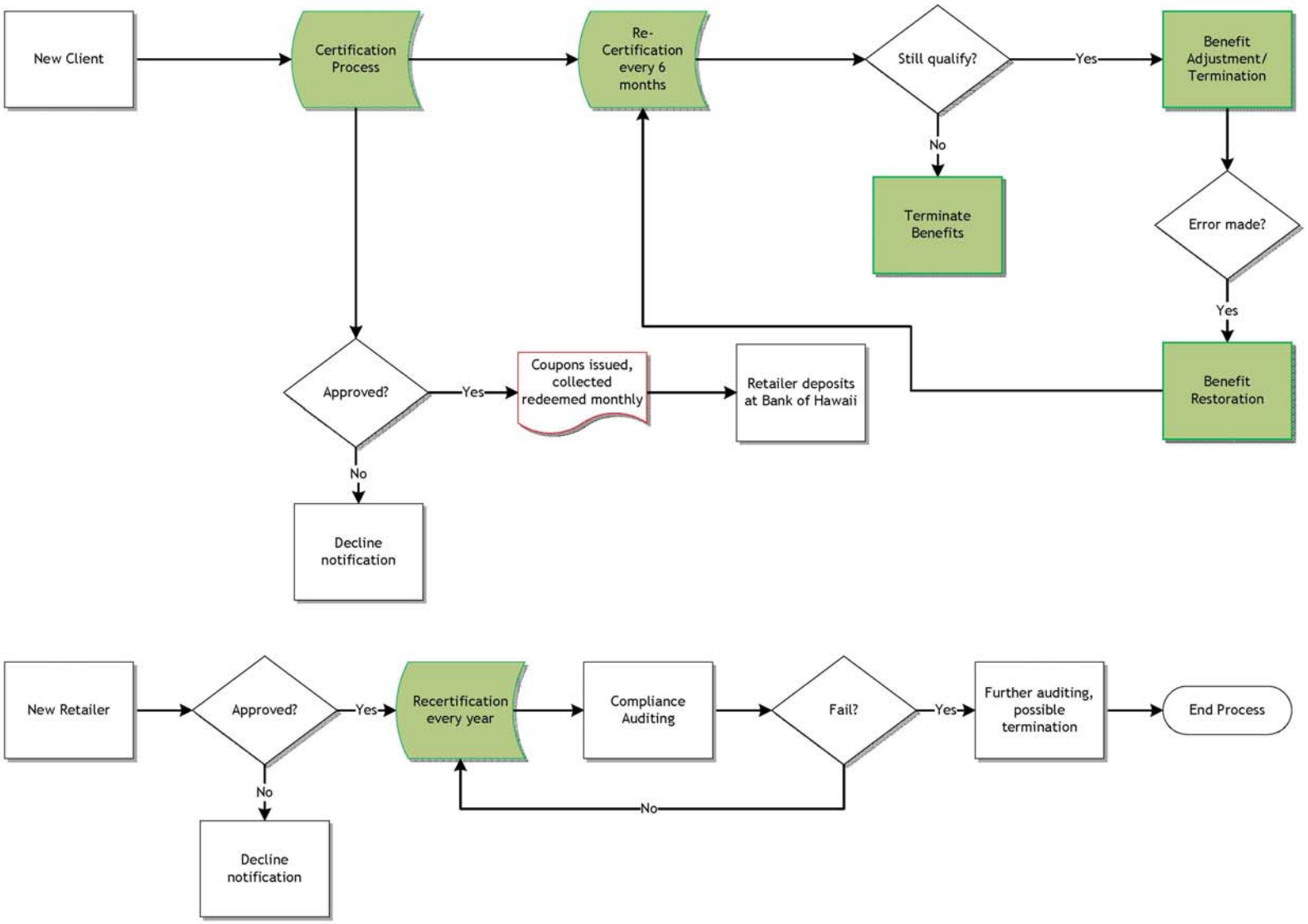
Point where information is entered or executed by TALOFA.

Process.

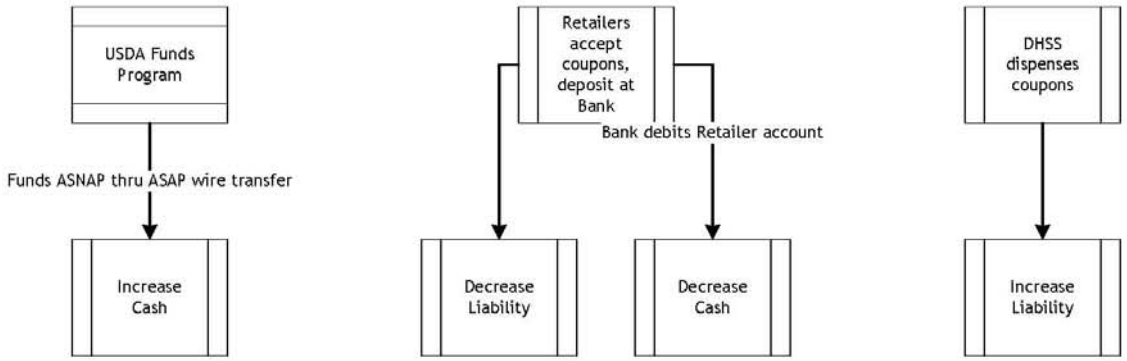
Point where information is entered or executed by IFAS.

Information is entered or executed by workflow, Click, Drag and Drill (CDD) report writer, web form, or Documents Online.

Big Picture


New Client
Certification Process
Re-Certification every 6 months
Still qualify?
Yes
Benefit Adjustment/ Termination
No
Terminate Benefits
Error made?
Yes
Benefit Restoration
Approved?
Yes
Coupons issued, collected redeemed monthly
Retailer deposits at Bank of Hawaii
No
Decline notification
New Retailer
Approved?
Yes
Recertification every year
Compliance Auditing
Fail?
Yes
Further auditing, possible termination
End Process
No
Decline notification
No

Business Model



Database Tables – Report Requirements

applInfo	
PK	applicID
	clientID

resultIn	
PK	resultID
	applicID Outcome

beneAssg	
PK	ID
	ClientId startDat endDate applIInfo

coupBtch	
PK	cBatchID
	bAssgID

coupInfo	
PK	couponID
	cBatchID

clientIn	
PK	ClientID
	SSN

addrInfo	
PK	addresID
	clientID

Phone Info	
PK	phoneID
	addresID

bankInfo	
PK	bankInID
	bankName

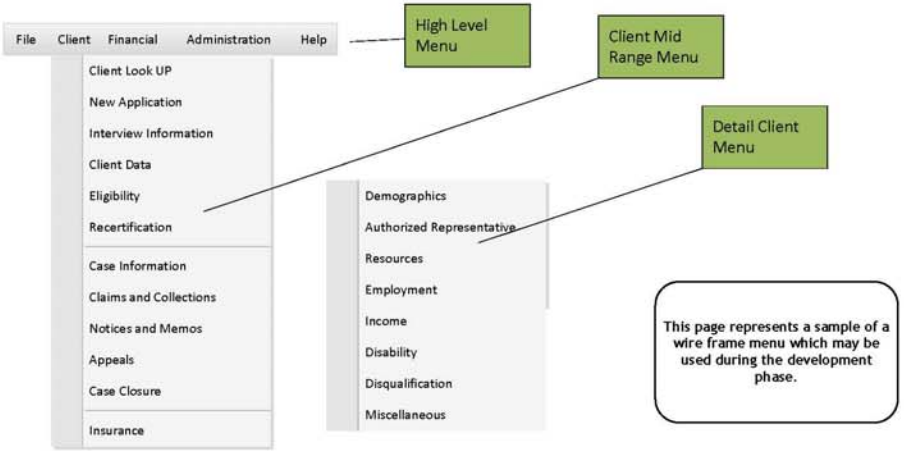
bkBatch	
PK	bBatchID

bkRedeem	

Income Decline Report

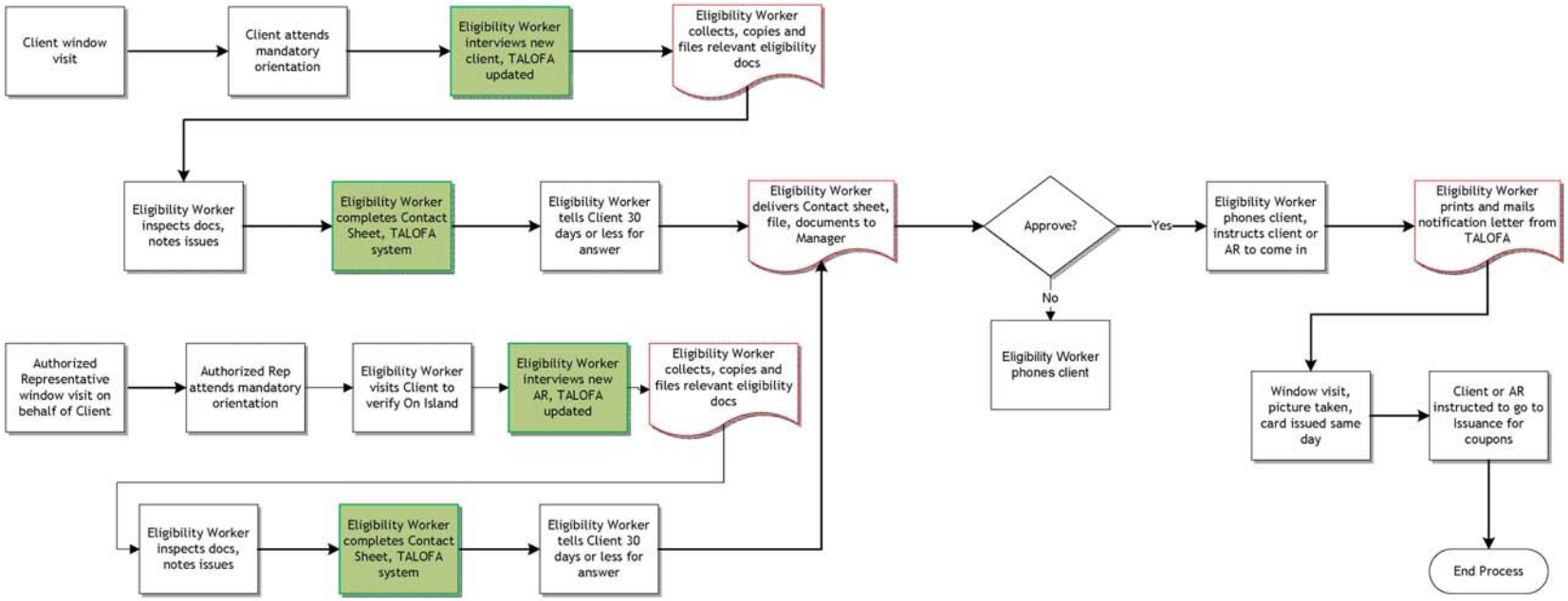
This page represents a format for analyzing database readiness for a reporting requirement. This form of analysis may be used in a whiteboard setting to determine if and how a reporting requirement may be met.

TALOFA System – Screen information



Eligibility - New Client Process
As-Is Map 01

Last Reviewed: 3/7/2012

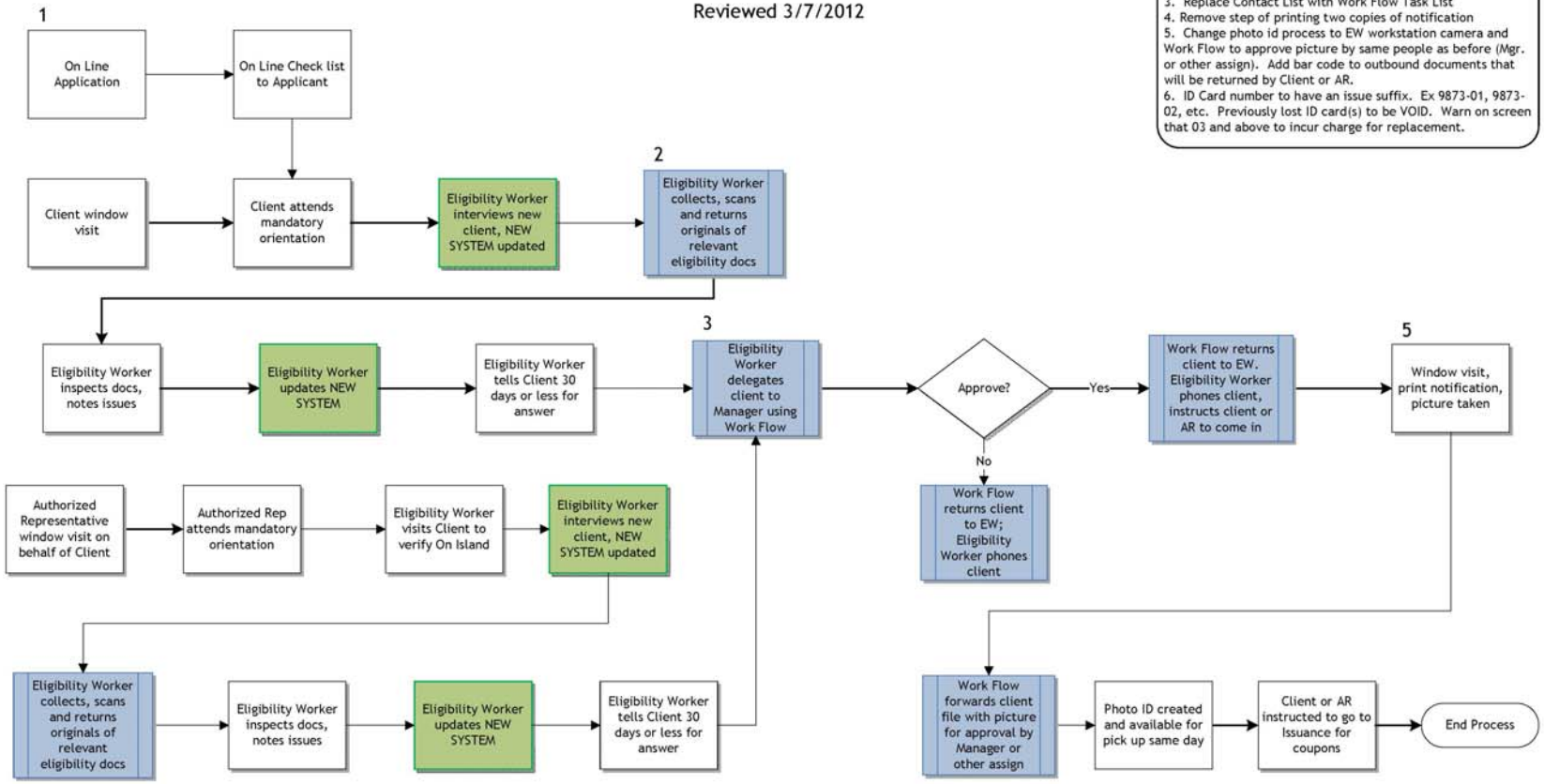


Eligibility - New Client Process
To-Be Map 01

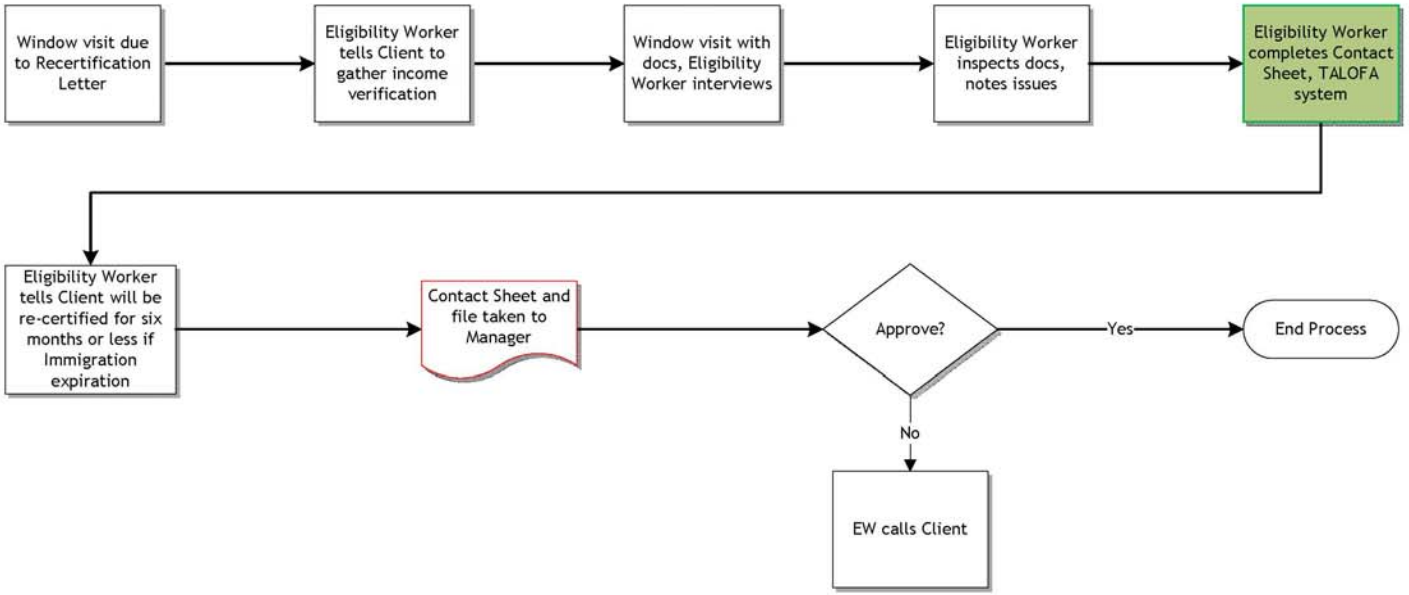
Reviewed 3/7/2012

Recommendations

1. On line application
2. Scan all applicant documents
3. Replace Contact List with Work Flow Task List
4. Remove step of printing two copies of notification
5. Change photo id process to EW workstation camera and Work Flow to approve picture by same people as before (Mgr. or other assign). Add bar code to outbound documents that will be returned by Client or AR.
6. ID Card number to have an issue suffix. Ex 9873-01, 9873-02, etc. Previously lost ID card(s) to be VOID. Warn on screen that 03 and above to incur charge for replacement.

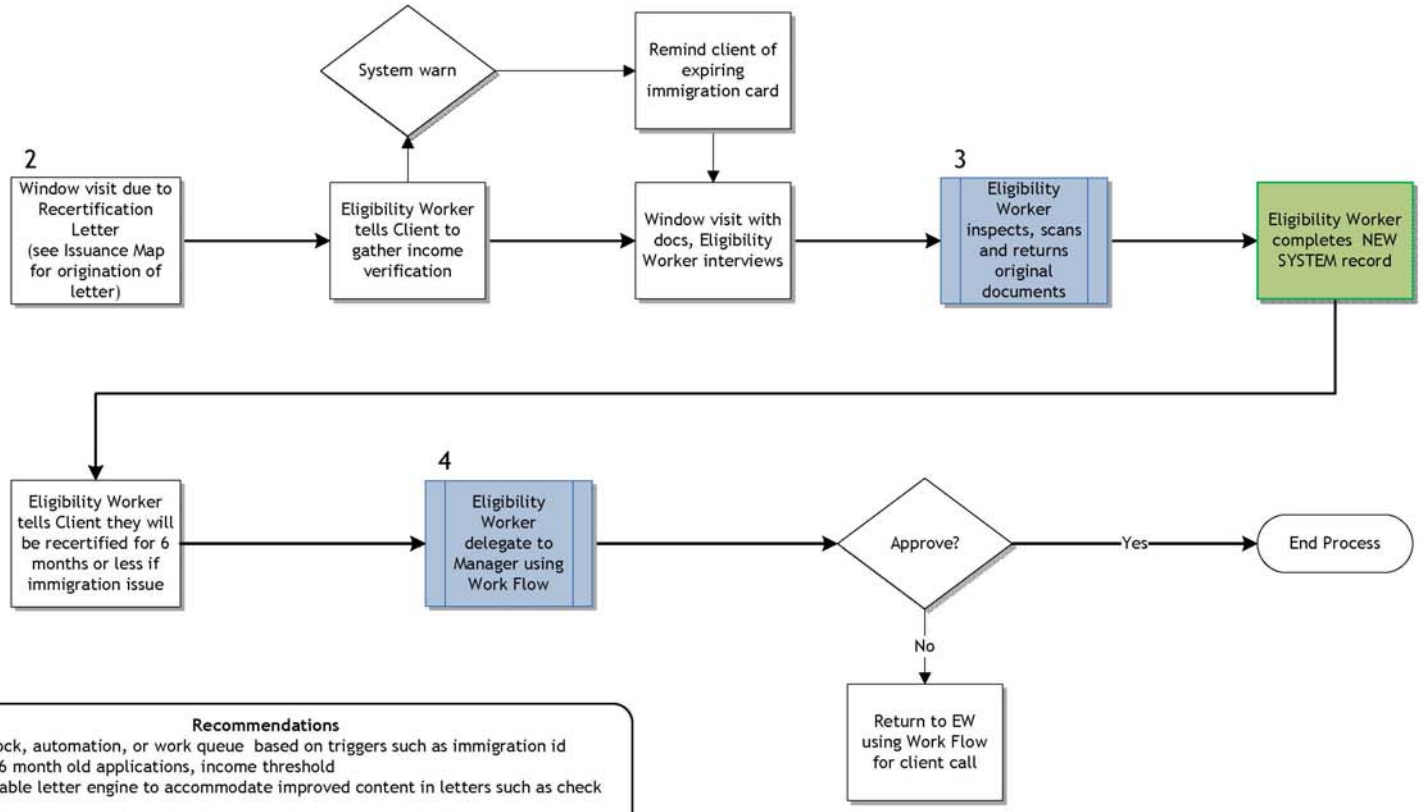


Eligibility - Recertification Process
As-Is Map 02
Last Reviewed 3/7/2012



Eligibility – Recertification Process
To-Be Map 02

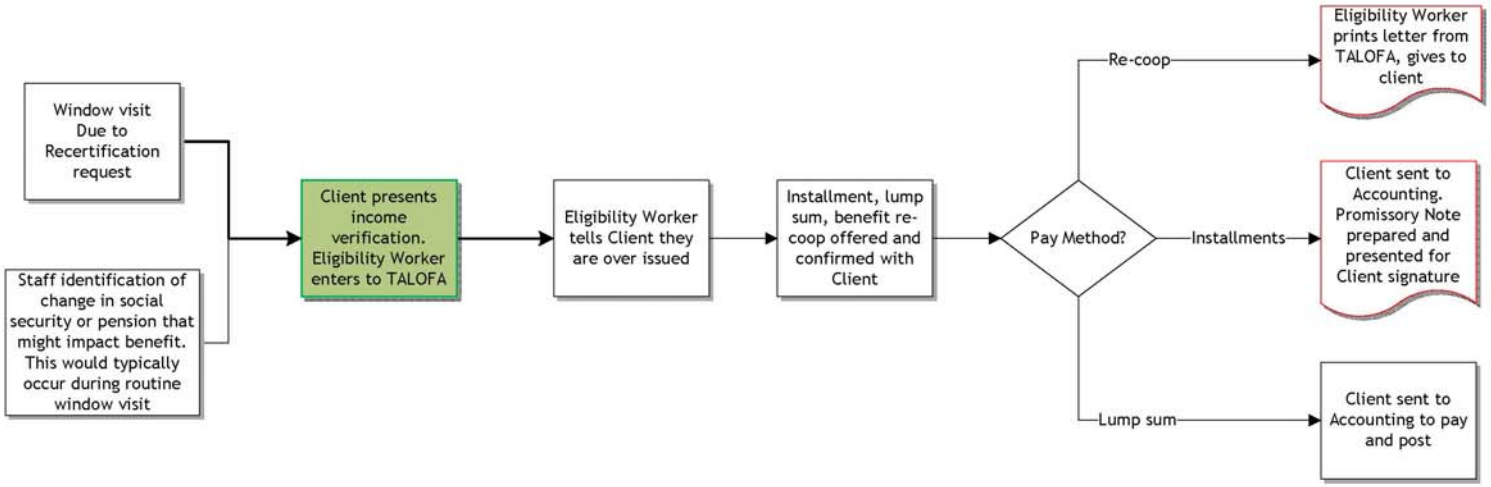
Reviewed 3/7/2012



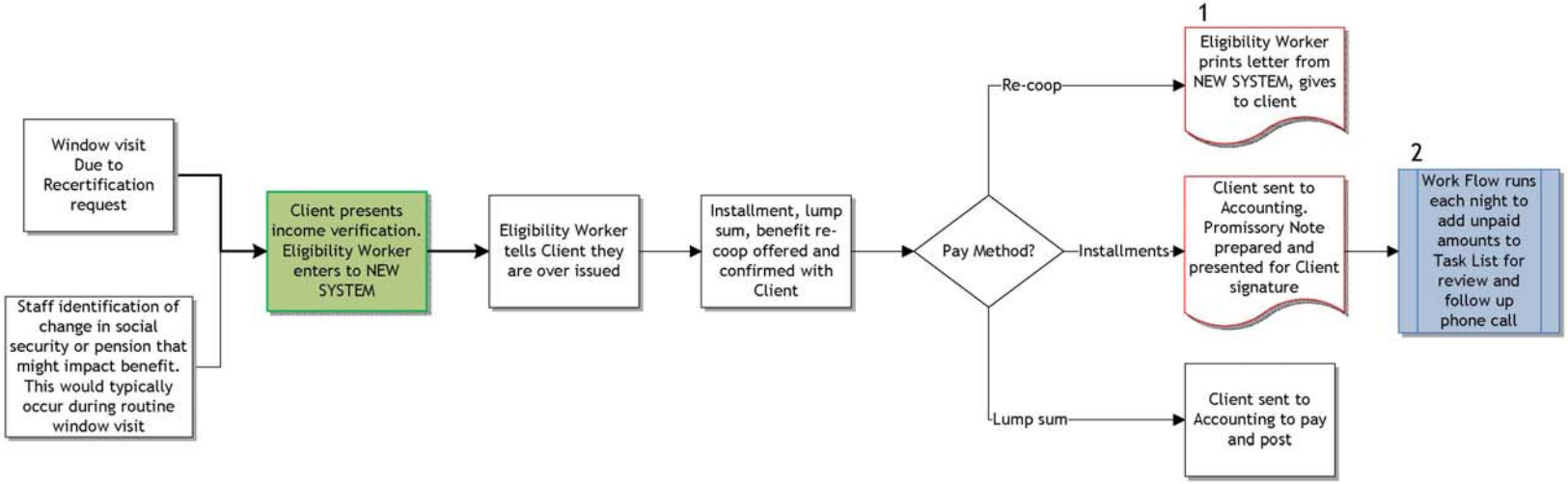
Recommendations

1. Warn, block, automation, or work queue based on triggers such as immigration id expiration, 6 month old applications, income threshold
2. Configurable letter engine to accommodate improved content in letters such as check list.
The check list would be configurable from the client screen, notification tab. For example, the Recertification Letter will contain the cutoff date which is 25th of each month.
3. Replace paper docs with scanning
4. Replace Contact Sheet with Work Flow
5. Change Log run in background tracking key values with who, prior, current value. An example would be changing the Authorized Rep. Other examples, Immigration Status, Change Income.

Eligibility - Over Issuance Process
As-Is Map 03
Last Reviewed 3/7/2012



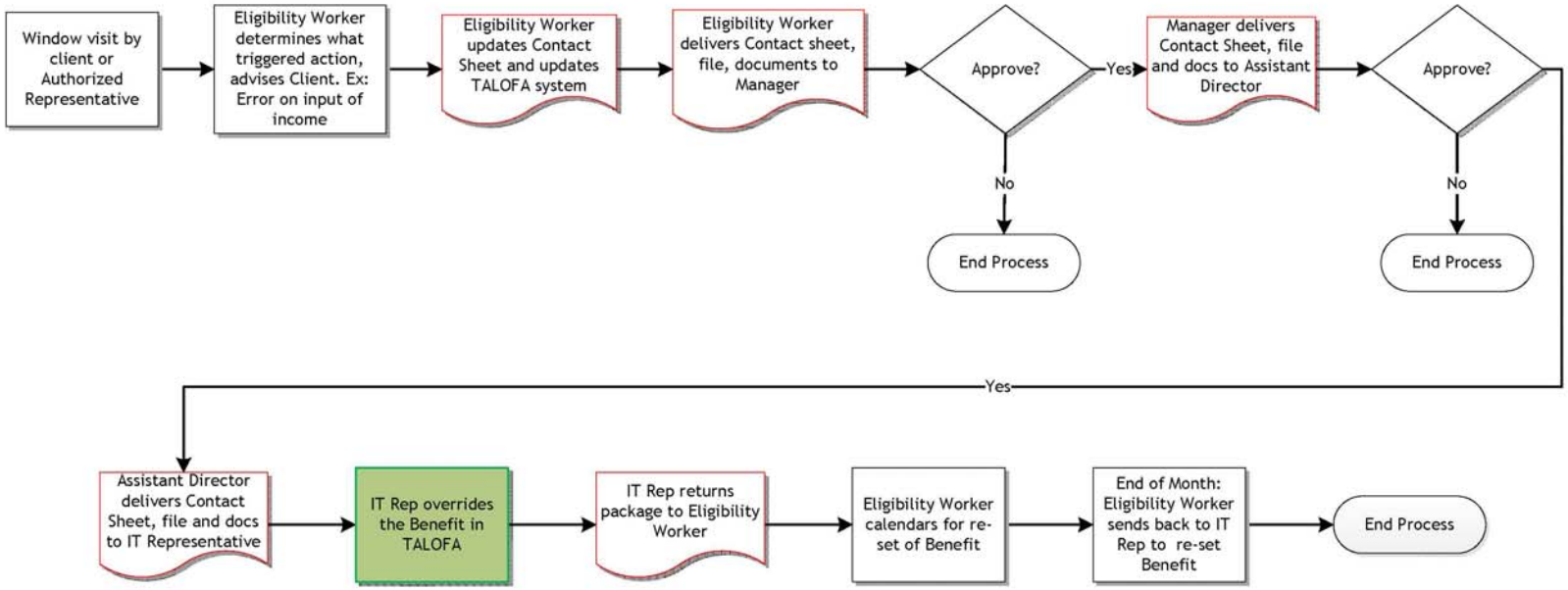
Eligibility - Over Issuance Process
To-Be Map 03
Last Reviewed 3/7/2012



Recommendations

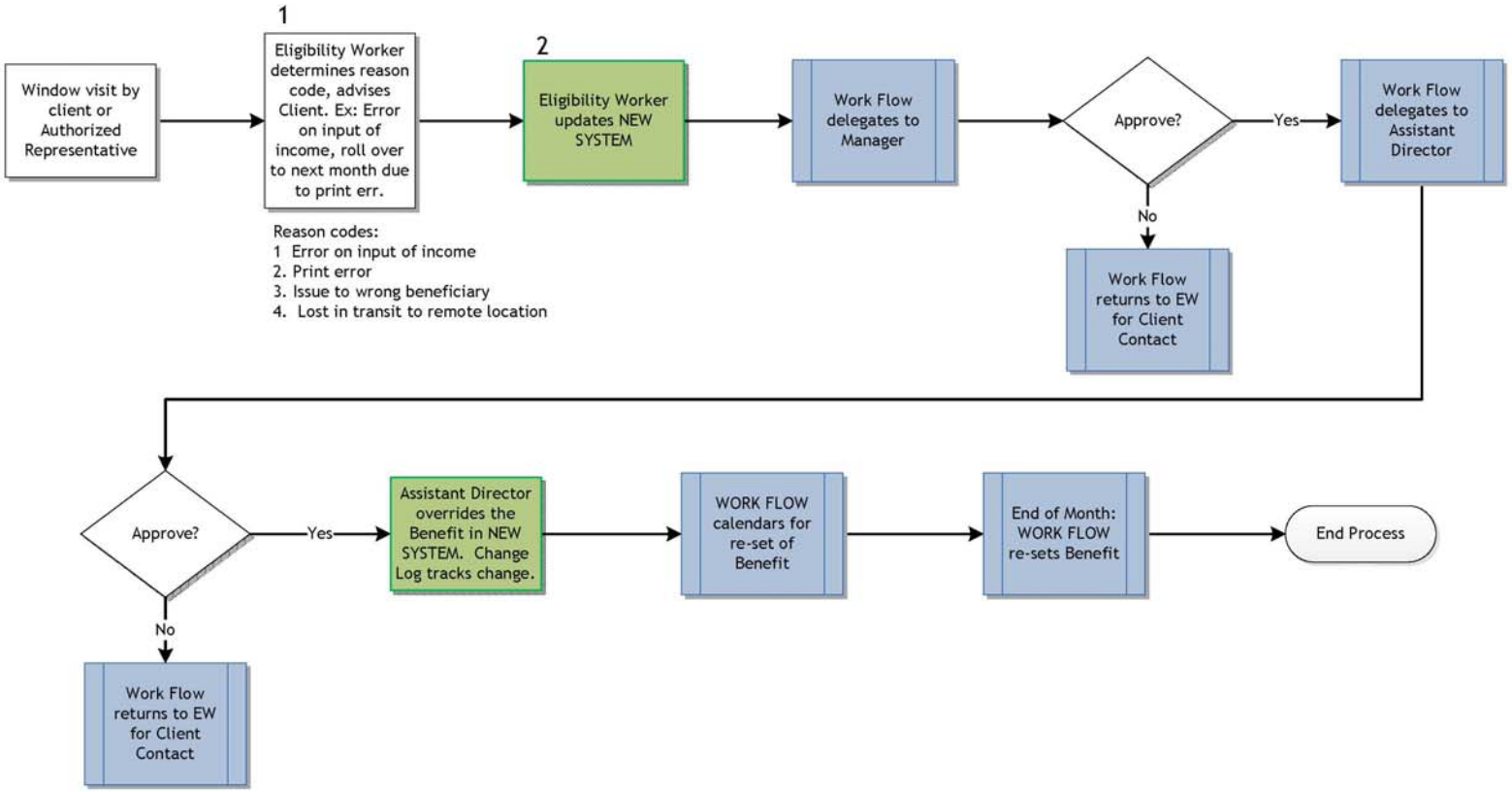
1. Configurable letter engine to accommodate improved content in letters such as check list.
The check list would be configurable from the client screen, notification tab. For example, the Promissory Note.
2. Work Flow and task list to create work queues for outbound contacts such as past due payments.

Eligibility - Benefit Restoration Process
As-Is Map 04
Reviewed 3/7/2012



Eligibility - Benefit Restoration Process
To-Be Map 04

Last Reviewed 3/7/2012

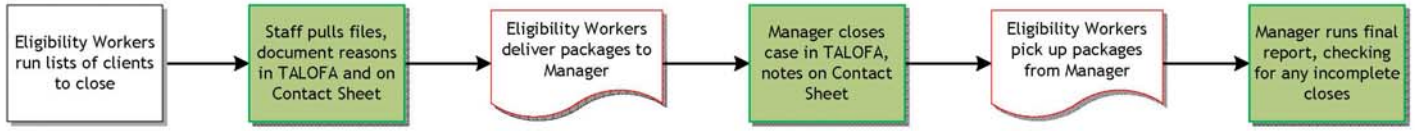


Recommendations

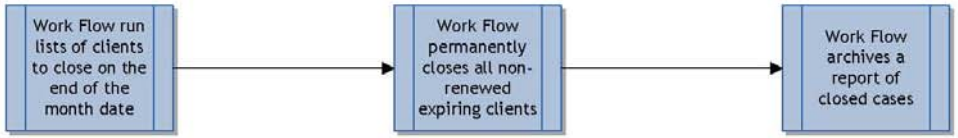
1. Use reason codes to categorize along with other with text box to assist EW for identifying reason for restoration.
2. Replace Contact Sheet with NEW SYSTEM recordkeeping and Work Flow
3. Automate reset of benefit at end of month. Or, Benefit Assg stays in tack, and Exception table is populated with change for that period only.

Eligibility - End of Month Process
As-Is Map 05

Last Reviewed:



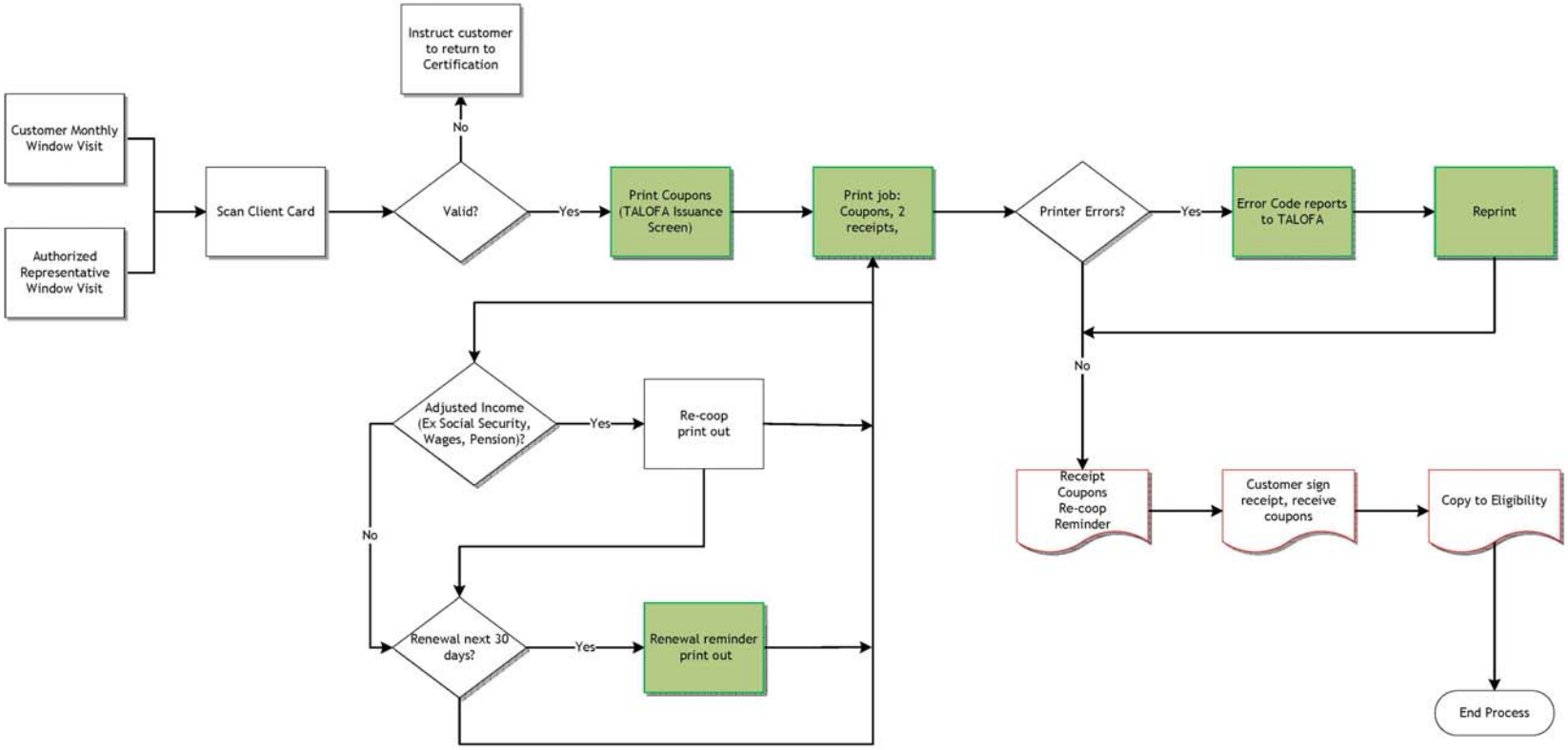
Eligibility - End of Month Process
To-Be Map 05
Last Reviewed: 3/7/2012



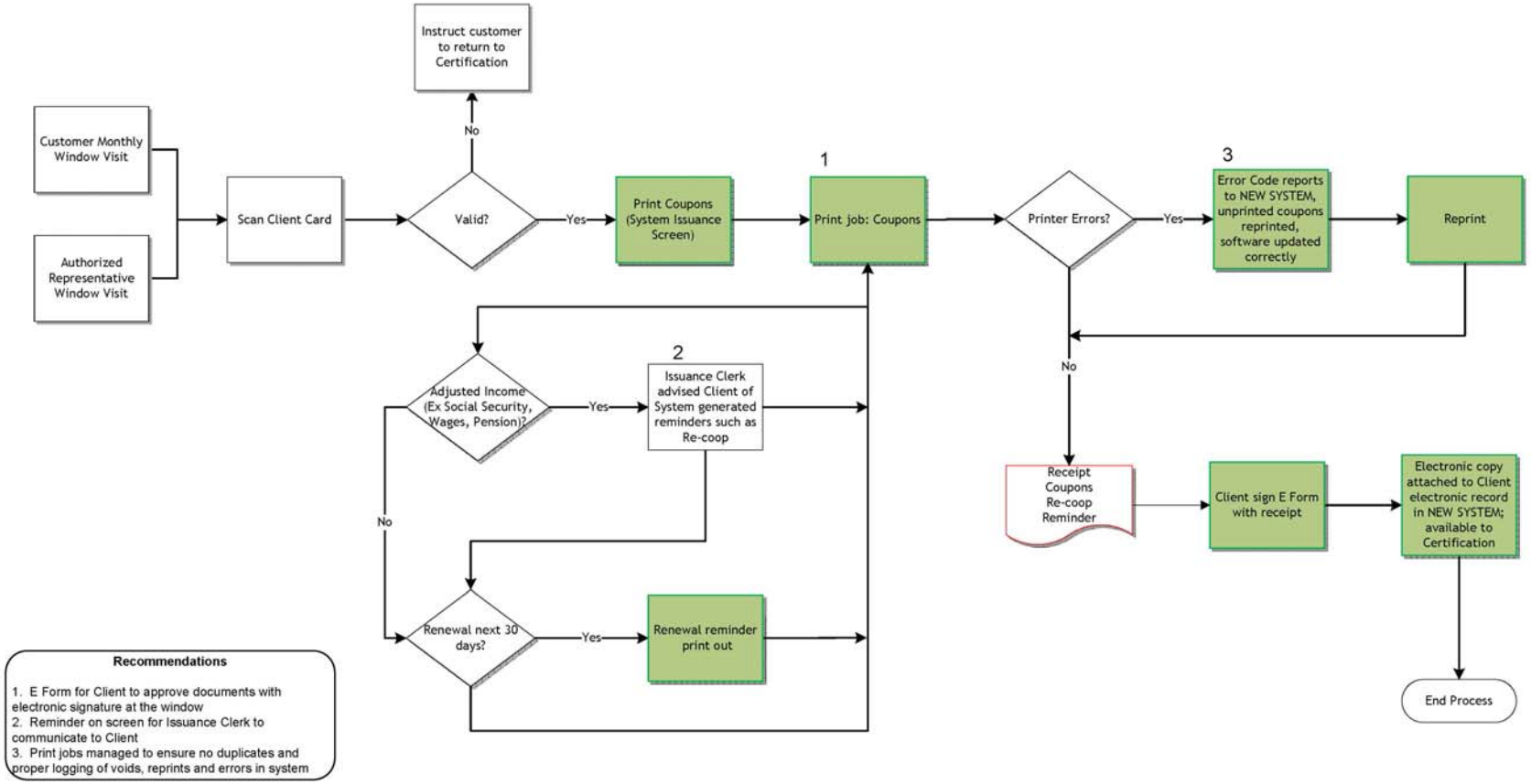
Recommendations

1. Use Work Flow to automatically close non-renewed client cases and to notify Manager via list.

Issuance - Coupon Dispense Process
As-Is Map 06
Last Reviewed 3/7/2012



Issuance - Coupon Dispense Process
To-Be Map 06
Last Reviewed: 3/7/2012



Recommendations

1. E Form for Client to approve documents with electronic signature at the window
2. Reminder on screen for Issuance Clerk to communicate to Client
3. Print jobs managed to ensure no duplicates and proper logging of voids, reprints and errors in system

Issuance - Cancel and Replace Process
As-Is Map 07
Last Reviewed 3/7/2012

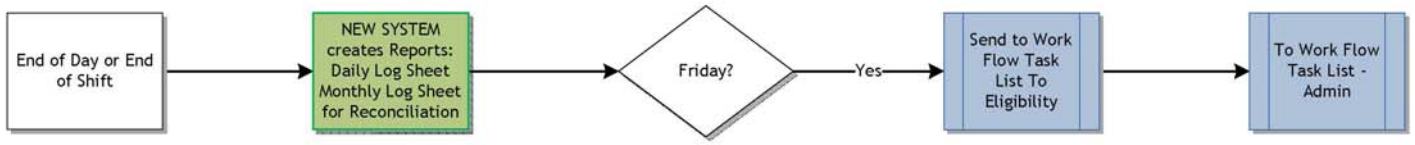
Issuance - Cancel and Replace Process
To-Be Map 07

Last Reviewed 3/7/2012

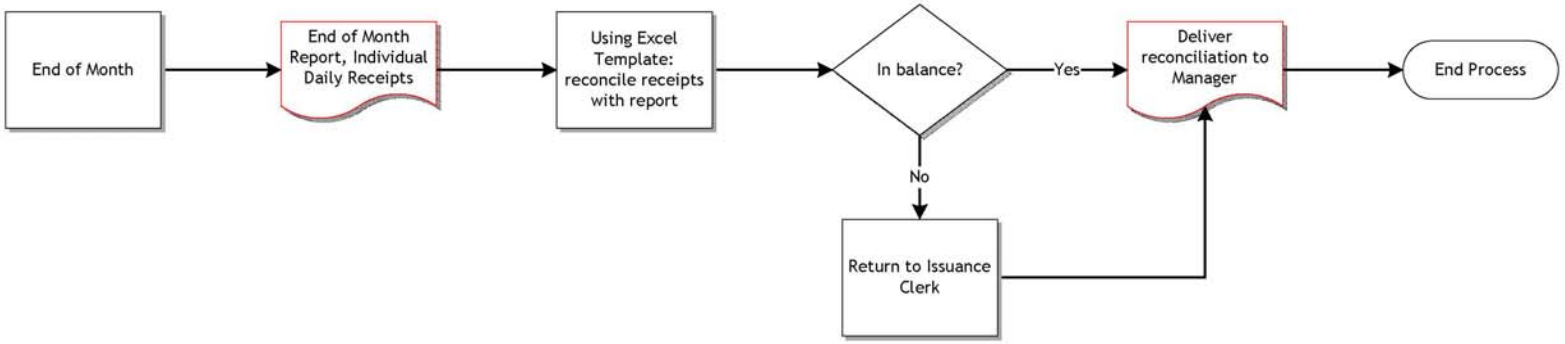
Issuance - End of Day Process
As-Is Map 08

Last Reviewed: 3/7/2012

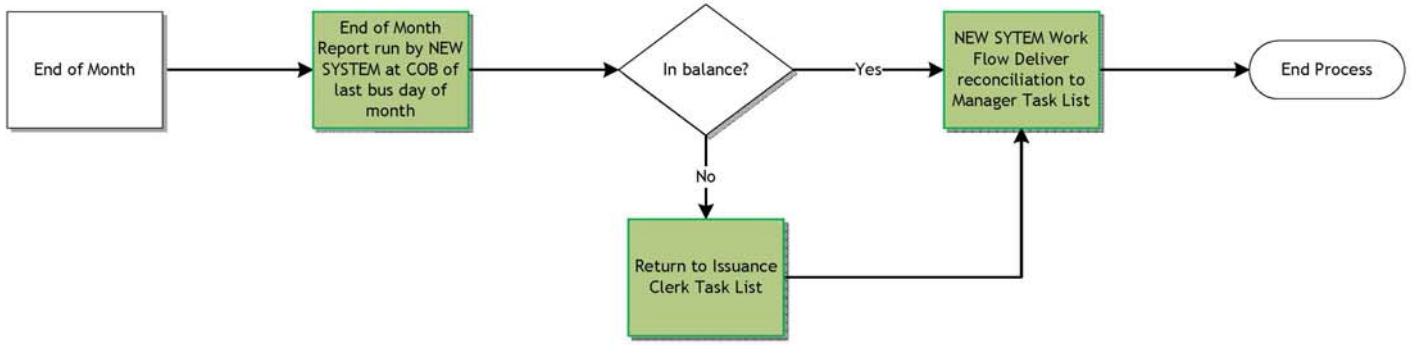
Issuance - End of Day Process
To-Be Map 08
Last Reviewed: 3/7/2012



Issuance - End of Month Process
As-Is Map 09
Last Reviewed 3/7/2012

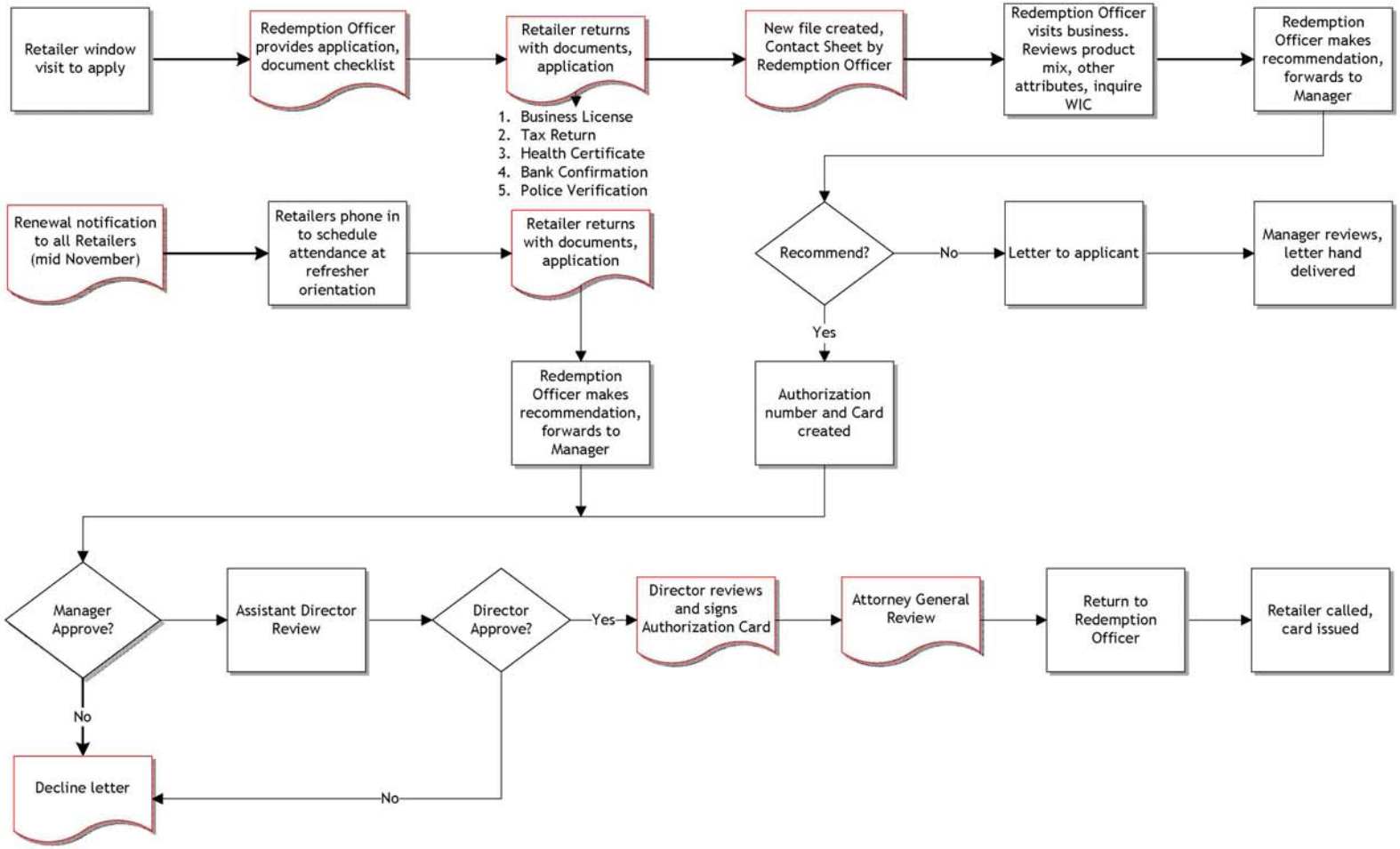


Issuance - End of Month Process
To-Be Map 09
Last Reviewed 3/7/2012



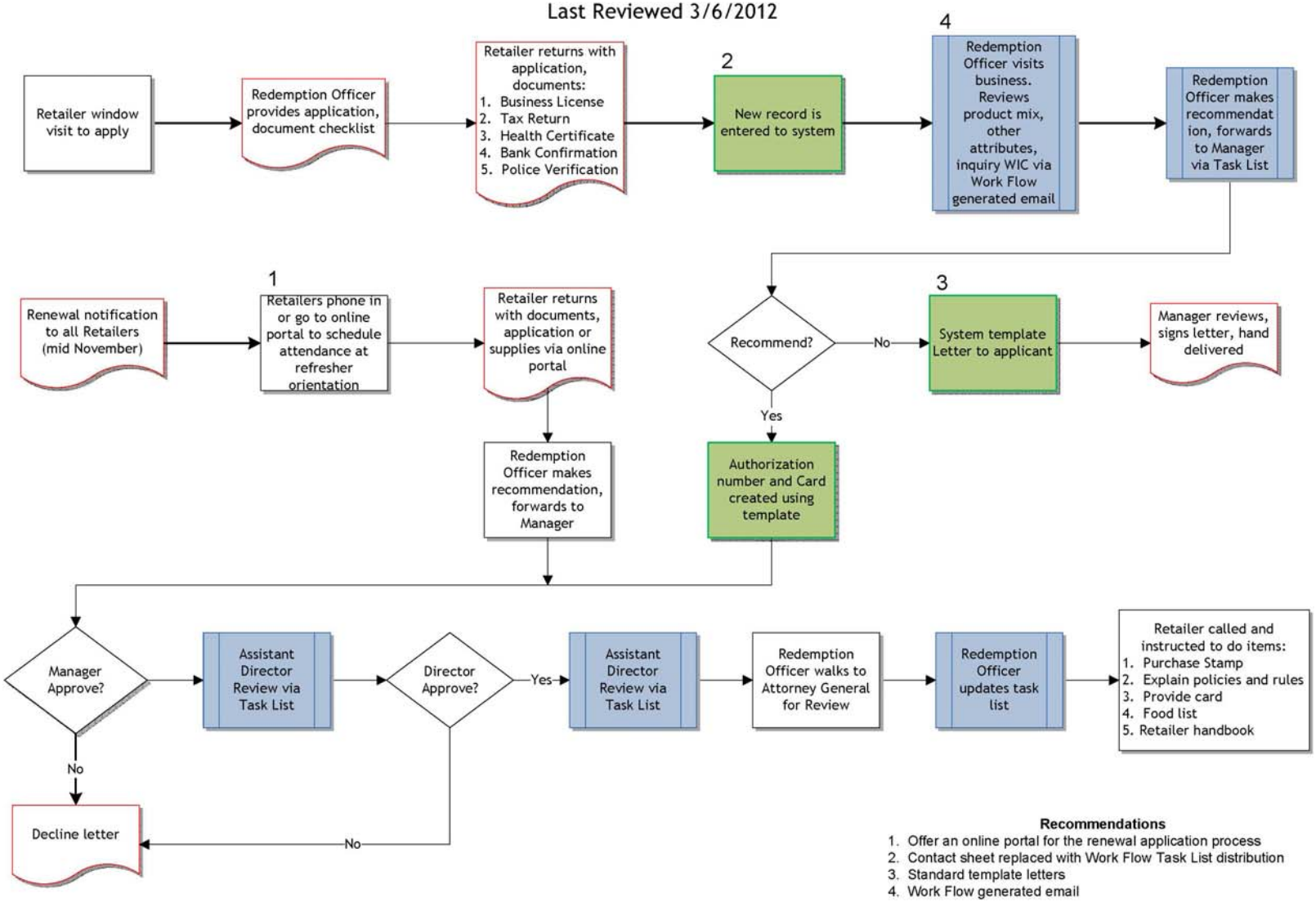
Retailer - Lifecycle Process
As-Is Map 10

Last Reviewed 3/6/2012



Retailer – Lifecycle Process
To-Be Map 10

Last Reviewed 3/6/2012

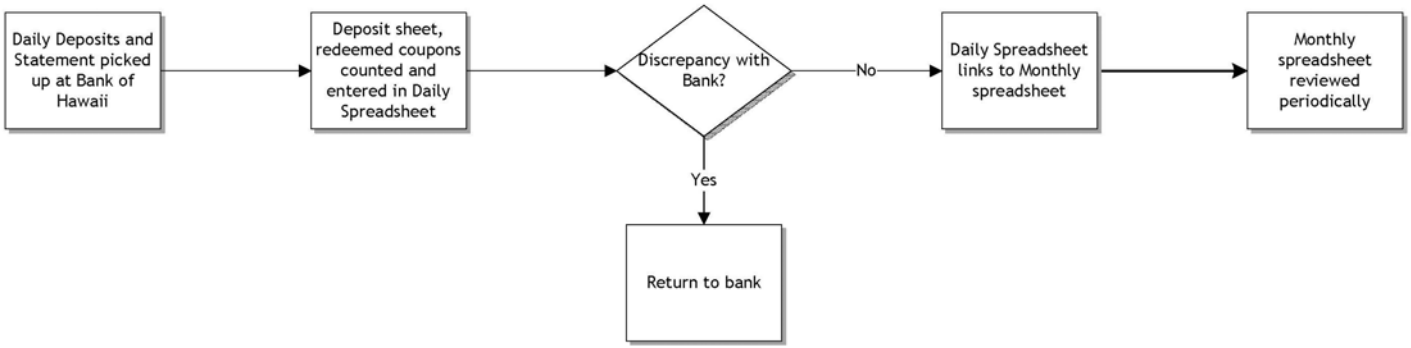


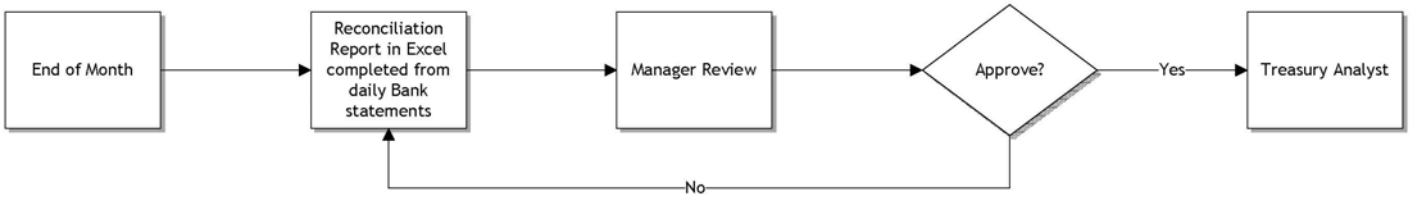
Recommendations

1. Offer an online portal for the renewal application process
2. Contact sheet replaced with Work Flow Task List distribution
3. Standard template letters
4. Work Flow generated email

Retailer – Processing/Compliance Process
As-Is Map 11

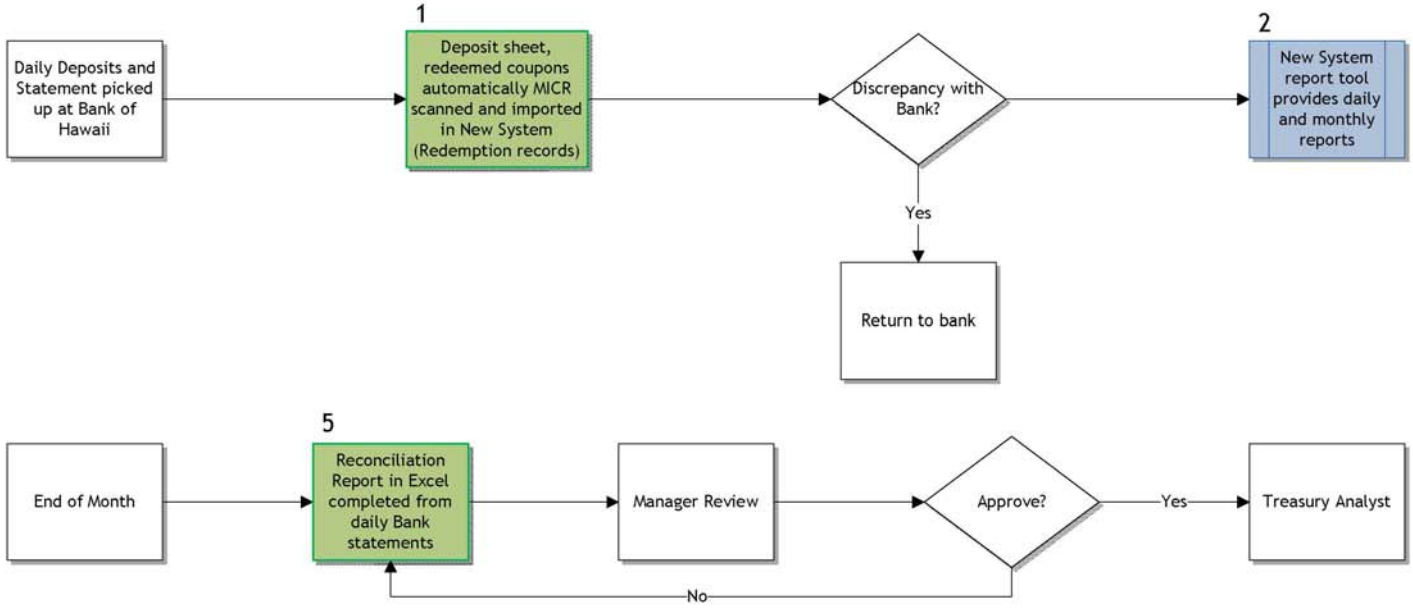
Last Reviewed: 3/6/2012





Retailer – Processing Process
To-Be Map 11

Last Reviewed 3/7/2012



Recommendations

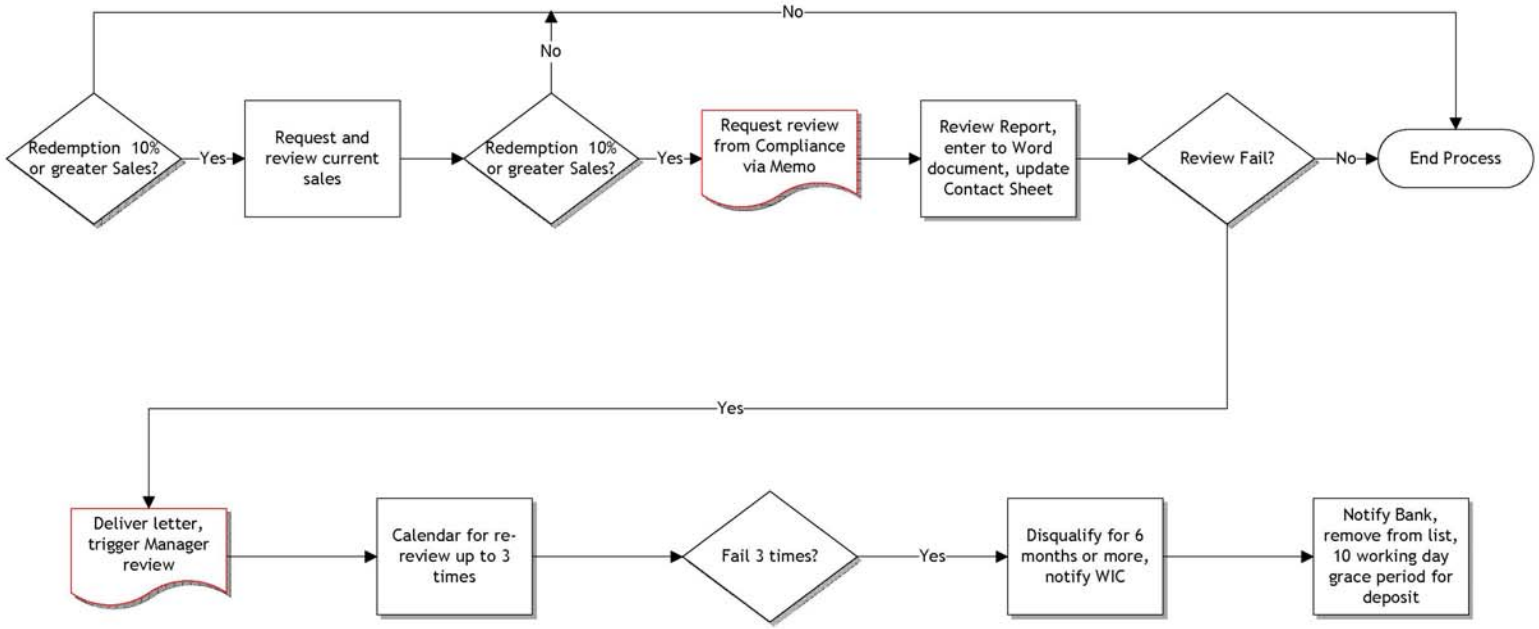
1. MICR machine will need to read dates of issuance and redemption, denomination, serial number. Note: The print coupon template will require adding MICR content and perhaps a MICR cartridge will need to be used going forward, not sure.
2. Replace Daily, Monthly spreadsheet with System reports
3. Data store in New System for each issued coupon, reconciliation screen is fed from issued coupon process and from daily coupon redemption process
4. Through SunGard IFAS Work Flow, daily Journal Entry automation with approval by Treasury source from daily MICR scanned redemptions.
5. Read only Report access to IFAS

Additional notes:

1. EBT is a major goal for the future. This map may need to be enhanced further as we learn the requirements of EBT.
2. The reconciliation process that we are outlining depends on a lot new things including inbound and outbound IFAS data. This process should be reviewed further as we get closer to implementation

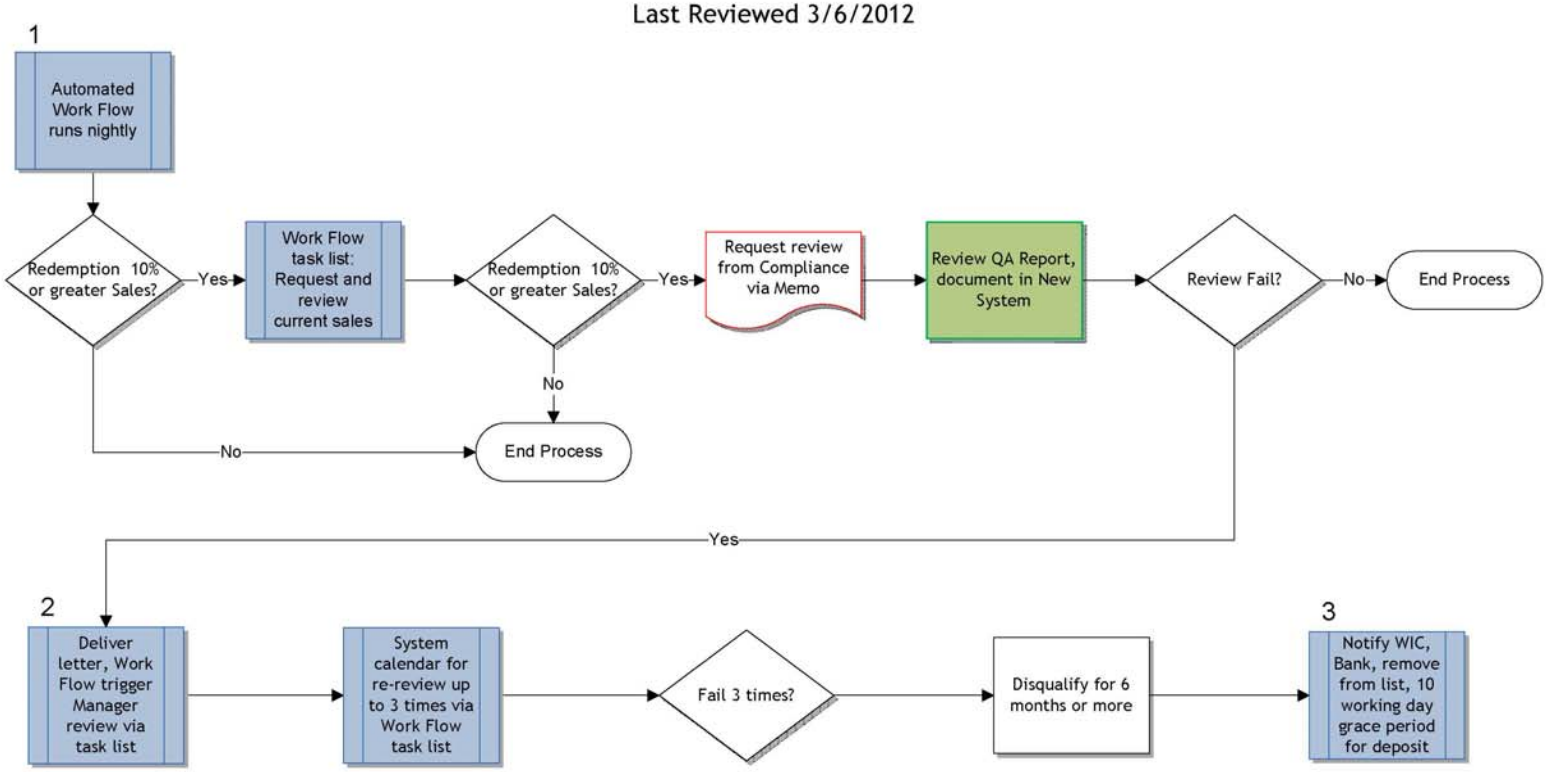
Retailer – Compliance Process
As-Is Map 12

Last Reviewed 3/6/2012



Retailer – Compliance Process
To-Be Map 12

Last Reviewed 3/6/2012

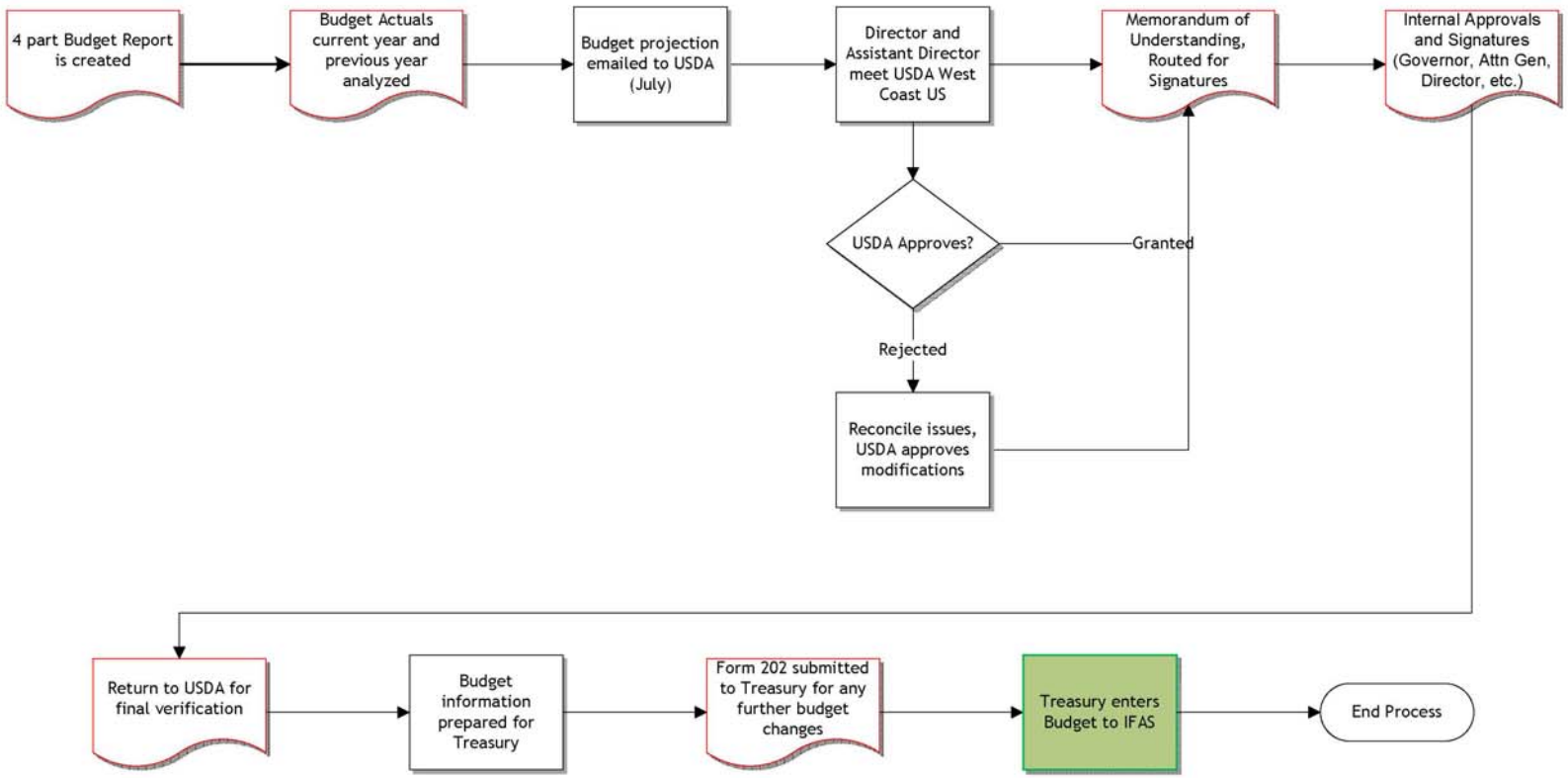


Recommendations

1. Scheduled work flow to analyze, identify and place in task list for review
2. Work Flow automates task list creation
3. Notifications to outside agency via work flow, automated email or file transfer

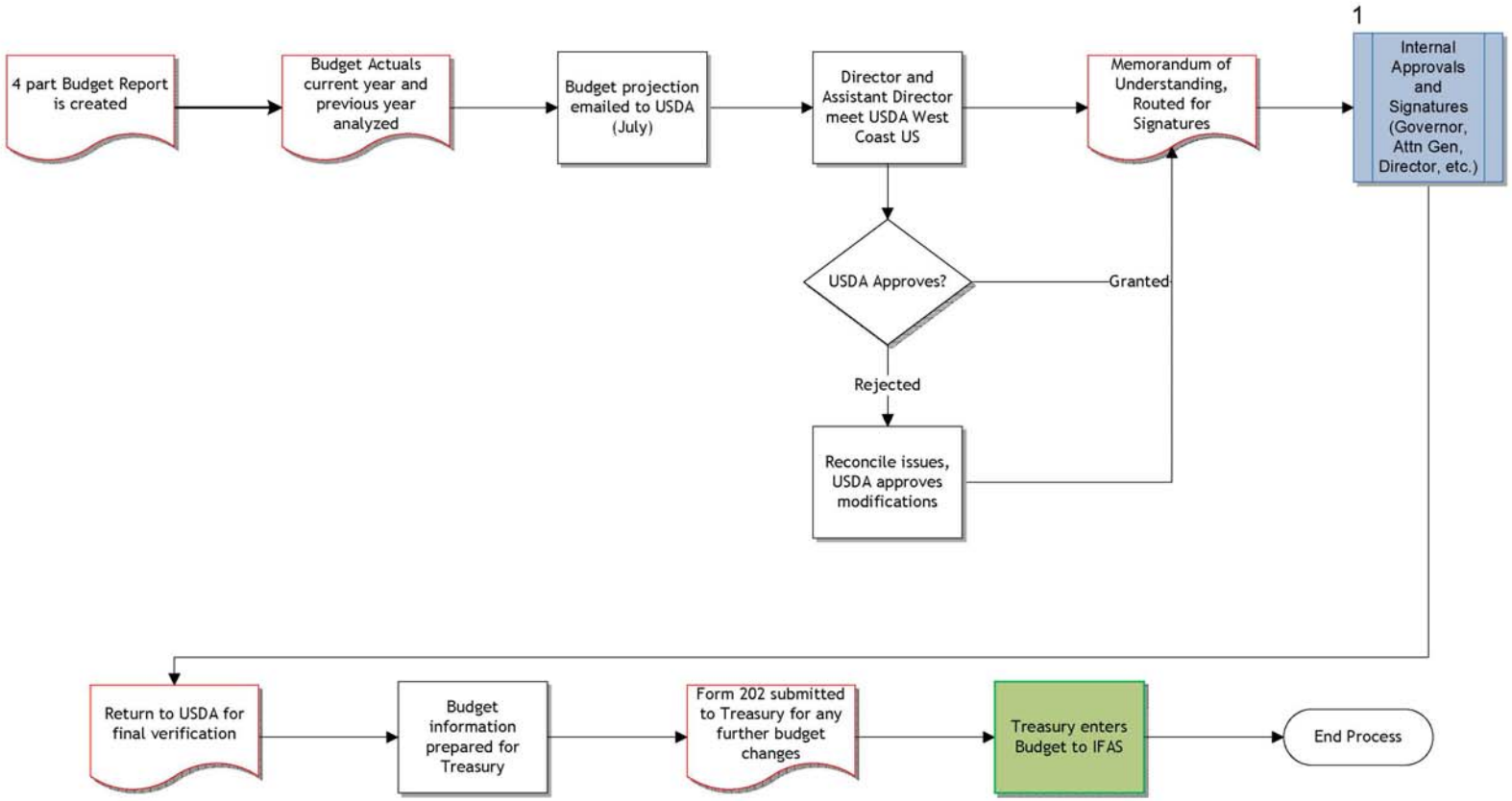
Accounting - Budget Negotiations Process
As-Is Map 13

Last Reviewed 3/7/2012



Accounting - Budget Negotiations Process
To-Be Map 13

Last Reviewed 3/7/2012

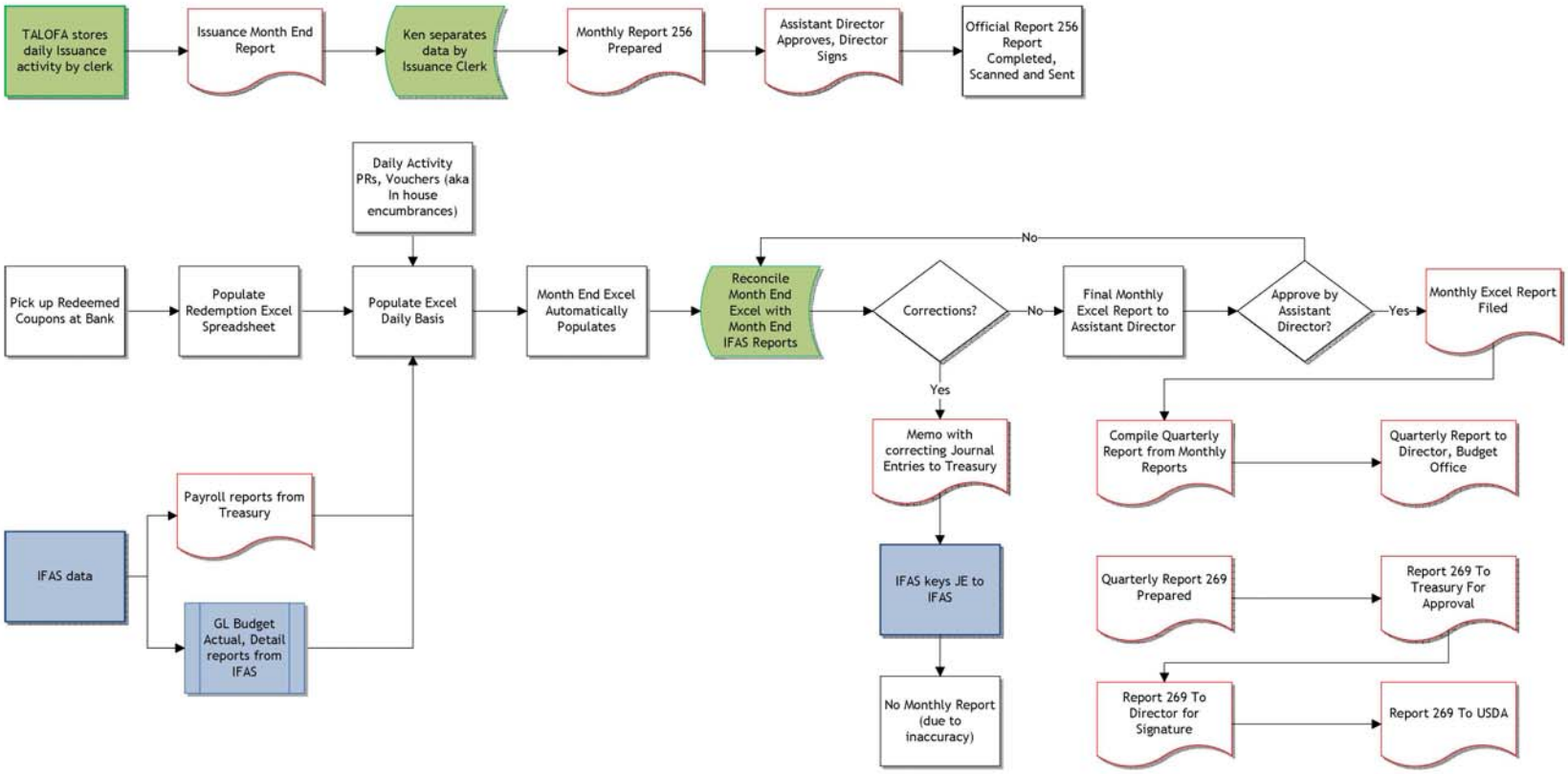


Recommendations

1. Work Flow routes for approval

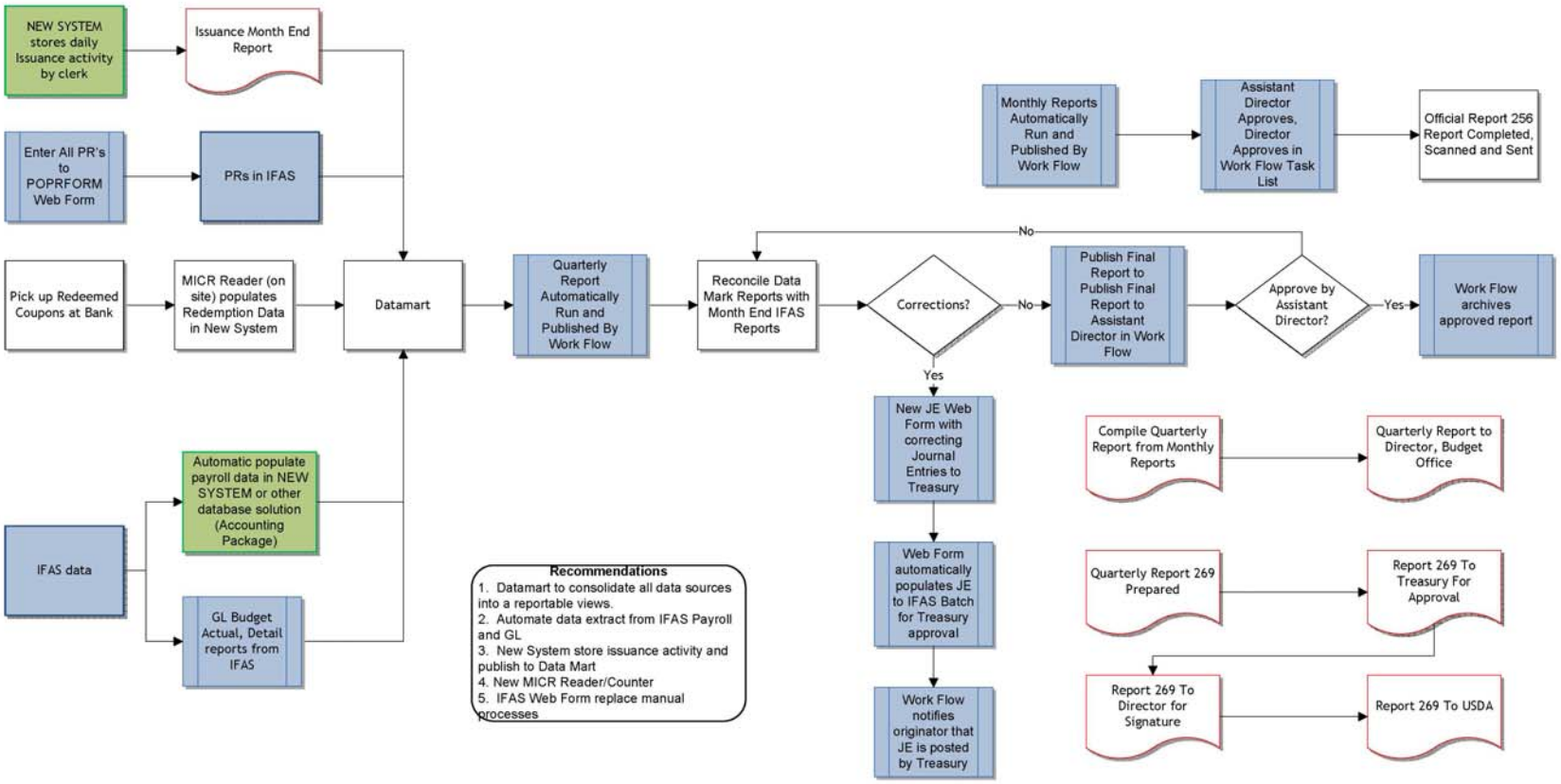
Accounting - Internal/External Reporting Processes
As-Is Map 14

Last Reviewed 3/7/2012



Accounting - Internal/External Reporting Processes
To-Be Map 14

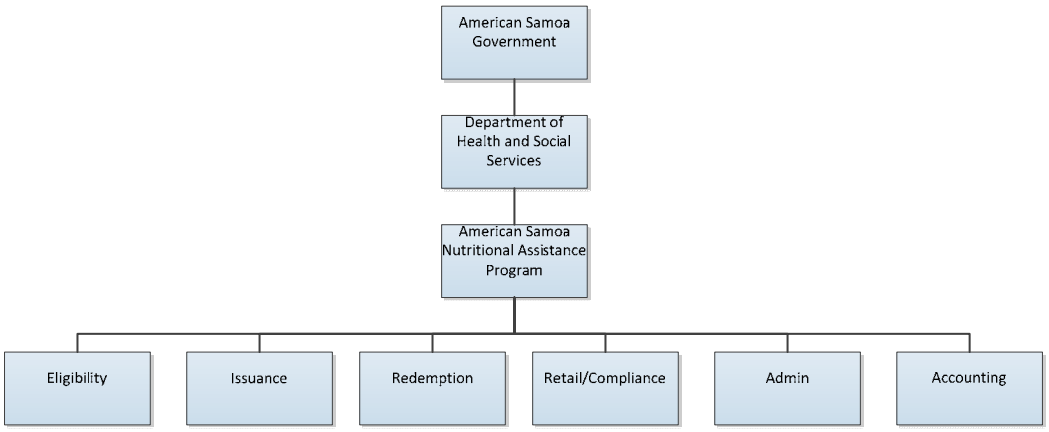
Last Reviewed 3/7/2012



APPENDIX H - ASG REFERENCE

Overview

The American Samoa Nutritional Assistance Program consist of five major functional areas and is operated by the Department of Human and Social Services (DHSS); overseen by the United States Department of Agriculture (USDA). The ASNAP program serves approximately 4,000 residents that are permanently disabled, elderly or blind by providing monthly coupon books up to $160 in value per month redeemable at approximately 90 local retailers. A total of 17 employees including 4 Managers and 13 staff are involved with the process. The Director of the DHSS oversees the operations. There are two remote representatives serving outer islands of the territory.



*The Bank of Hawaii provides negotiation of the coupons and delivery of the coupons to the local teller window.

**The Audit Department furnishes Test Visits to enrolled Retailers.

* **2 FTE in island of Fitiuta and Olosega that handle Eligibility, Issuance, Client Service

Functional Area	Accounting	Eligibility/Cert	Issuance	Retail Redemption/ Compliance	Admin
Director	1				
Assistant Dir.	1				
Manager	1	1	1	1	0
Worker	2	5	4	2	2
	Pati-M Jeanette Liz	Ta'i-M Afa Justine Ata Winnie Cleo	Ken-M Ilasa-AM Lina Jane Rita	Pati-M Seuga Tamara	Ma Janice
Internal Resources	Q.A. (Audit) ** Treasury (IFAS) MIS/IT Janitorial USDA HR				
External Resources	Bank of Hawaii* Social Security Administration(SSA) Office of Immigration Retirement Office Email Provider (off site)				

Functional Area	Accounting	Eligibility/Cert	Issuance	Retail Redemption/ Compliance	Admin
Director	1				
Assistant Dir.	1				
Manager	1	1	1	1	0
Worker	2	5	4	2	2
	Pati-M Jeanette Liz	Ta'i-M Afa Justine Ata Winnie Cleo	Ken-M Ilasa-AM Lina Jane Rita	Pati-M Seuga Tamara	Ma Janice
Internal Resources	Q.A. (Audit) ** Treasury (IFAS) MIS/IT Janitorial USDA HR				
External Resources	Bank of Hawaii* Social Security Administration(SSA) Office of Immigration Retirement Office Email Provider (off site)				

Glossary of Terms

Term	Definition
DHSS	Department of Human and Social Services
Recoup	Recoupment of funds from a client for overpaid over benefits. Process that occurs within the Benefit Restoration process when a client is continuing to received benefits after identification of an owed balance. The recoup is from up to 25% of the Client's future benefits until the recoup is satisfied.
TALOFA	Not to be confused with "hello", the TALOFA system is presently the system of record for Clients, Eligibility, Benefits and issuance of coupons.
Work Flow	Combining the general meaning of a work flow software solution, Work Flow is a software supporting functionality that allows for automated system-related tasks to be "triggered" based on events such as • User completes a screen process such as "Worker approved, ready for Manager approval" • Scheduled electronic retrieval and subsequent update of a configured portion of the database such as "close accounts that have not renewed by a configurable date" • Worker or Manager tasks one another with review of a Client or Application record In addition to this standard functionality the NEW SYSTEM shall maintain a log of the above for accountability purposes.

User Interfaces

It is preferred that the NEW SYSTEM screens be developed using the following promotion process:

- analysis of existing screens and data structures
- wire frame presentation of proposed screens
- review and approval by Functional area
- prototype development, approvals
- final development
- "no programming required" configurability of screens

The NEW SYSTEM shall provide interfaces for the following roles:

- Administrator: NEW SYSTEM shall allow an authorized administrator to configure screens, reports, work flow models and warning messages and to set up/maintain users.
- Client Eligibility: NEW SYSTEM will provide screens to support Adding/Maintaining a Client and support the Eligibility, Recertification, Re-Issuance processes.
- Client Issuance: NEW SYSTEM will support the monthly Coupon Issuance process that occurs at the DHSS office.
- Client Re-certification: NEW SYSTEM shall support the process as outlined in the TO BE map.

NEW SYSTEM shall support re-payment of overpaid benefits in the following ways: lump sum, re-coop through reduction of future benefits, re-payment via Promissory Note.

Redemption: NEW SYSTEM shall support automation of the redemption process. It is preferred that the NEW SYSTEM will integrate with a MICR reader/counter hardware solution to eliminate manual counting of redeemed coupons.

Hardware Interfaces

In general, Hardware Interfaces will be Ethernet.

Software Interfaces

IFAS: NEW SYSTEM shall interface with SunGard IFAS administered by the ASG Dept of Treasury. The IFAS screens are POUPPR (Purchasing) and GEUPGL (GL Update). The IFAS system provides an XML-based API for submitting items for approval and for updating the IFAS database upon approval.

EBT: NEW SYSTEM shall comply with known standards relating to replacement of the Coupon Issuance process. It is desired that this interface be configurable to anticipate future changes in EBT processing.

Network Interfaces

LAN at DHSS: The system will run over this network.
WAN ASG: The ability to run reports and perform data entry will be made available by the NEW SYSTEM throughout the American Samoa Government Wide Area Network.
Internet: for off-island back up purposes: A communication between the NEW SYSTEM and an off-island backup solution will be provided by the NEW SYSTEM VENDOR.

Operational Requirements

The NEW SYSTEM shall run over the Local Area Network at DHSS. It is preferred that the screens be web-based and fast responding with the latter being the higher importance.

The NEW SYSTEM shall be easy to maintain and as discussed in the Requirements documentation, be configurable with regard to screens, reports, alerts, and validation.

Security

The NEW SYSTEM shall support multiple user roles. These roles include but are not limited to Administrator, Eligibility Worker, Eligibility Manager, Issuance Worker, Issuance Manager, Accounting Worker, and Accounting Manager.

The NEW SYSTEM's security shall control access at the field level and modality at the field level (Read, Edit, Write)

Audit Trail

The NEW SYSTEM shall maintain an irreversible log of the following events:

- Changes to identified fields (Social Security Number, Last Name)
- Work Flow tasks and approvals

The NEW SYSTEM shall maintain a log of the following events:

- User log in, log off
- Clients added
- Applications added
- Applications approved
- Applications declined

It is preferred that more logs may be configured by the DHSS System Administrator.

Data Currency

Data that is provided in the system will be in 'real time' without a delay in showing updates.

Data Retention

Data will be retained permanently. It is preferred that archiving be configurable to allow for reduction of the live database after five years while retaining archive access.

Classes/Categories of Users

User Role	Access to screens	Participates In (refer to TO BE maps)
Administrator	All	None
Assistant Director		Map 13 Budget Negotiations Process Map 14 Internal/External Reporting Process
Accounting Manager		
Accounting Worker		
Eligibility Manager	Client, Application Ability to 'approve', 'deny' Applications	Map 01 – New Client Process Map 02 – Recertification Process Map 03 – Over Issuance Process Map 04 – Benefit Restoration

		Process Map 05 – End of Month Process
Eligibility Worker	Client, Application	Map 01 – New Client Process Map 02 – Recertification Process Map 03 – Over Issuance Process Map 04 – Benefit Restoration Process Map 05 – End of Month Process
Issuance Manager	Issuance	Map 06 – Coupon Dispense Process Map 07 – Cancel & Replace Process Map 08 - End of Day Process Map 09 – End of Month Process
Issuance Worker	Issuance	Map 06 – Coupon Dispense Process Map 07 – Cancel & Replace Process Map 08 - End of Day Process Map 09 – End of Month Process
Retail Manager	Retail Partner	Map 10 – Retailer Life Cycle Map 11 - Retailer Redemption Process Map 12 – Retailer Compliance Process
Retail Worker	Retail Partner	Map 10 – Retailer Life Cycle Map 11 - Retailer Redemption Process Map 12 – Retailer Compliance Process

EBT

It is desired that the NEW SYSTEM will be EBT compliant and preferably have a track record of successful EBT integrations. Supplier information is helpful and even is scored to the extent it clarifies the ability to have a successful EBT implementation either now or down the road

Summary

The NEW SYSTEM shall positively impact the ASNAP program of American Samoa Government. This document reveals that the present TALOFA system contains reasonably good support for client facing processes that could be cured with a re-vamp based on a similar design. The NEW SYSTEM will need to include functionality for the present Retailer Management and for the Redemption Process with extendibility into EBT.

Contract Clauses

All bidders & offerors are advised that the following contract provisions and clauses shall be included in the resulting contract for the above solicitation as prescribed:

Clause	***Required By A.S.A.C.****	***Found In***	***Applies To***
Termination For Convenience	10.0250(d)(1) 10.0260(a)	Appendix A	All contracts in excess of $10,000
Termination For Default	10.0250(d)(2)	Appendix B1	All construction contracts exceeding $10,000
Termination For Default	10.0260(b)	Appendix B2	All goods & services contracts in excess of $10,000
Equal Opportunity	10.0250(d)(3) 10.0260(c)	Appendix C	All contracts in excess of $10,000
Anti-Kickback Statute	10.0250(d)(4)	Appendix D	All construction contracts
Davis Bacon Act	10.0250(d)(5)	Appendix E	Construction contracts that exceed $2,000 & when required by federal grant program legislation
Contract Work Hours and Safety Standards Act	10.0250(d)(6) 10.0260(d)	Appendix F	Construction contracts in excess of $2,000 or contracts in excess of $2,500 which involve employment of mechanics or laborers
Clean Air and Water	10.0250(d)(7) 10.0260(f)	Appendix G	All contracts over $100,000 (unless requirement has been waived by EPA)
Examination of Records	10.0260(e)	Appendix I	Negotiated contracts
Patents	10.0260(g)	Appendix J	Contracts involving research, development, experimental or demonstration work
Prohibition Against Gratuities and Kickbacks	10.0250(d)(8) 10.0260(h)	10.0292(f)	All contracts
Prohibition Against Contingent Fees	10.0250(d)(9) 10.0260(i)	10.0292(g)	All contracts
Prohibition Against Collusion	10.0250(d)(10) 10.0260(j)	10.0292(i)	All contracts

**A.S.A.C. = American Samoa Administrative Code, Title 10 (Public Works and Contracts), Chapter 2 (Procurement)*

FNS Required Federal Provisions

The successful contractor must comply with the following provisions:

1. ***Executive Order 11246, entitled "Equal Employment Opportunity,"*** as amended by Executive Order 11375, and as supplemented by the Department of Labor Regulations (41 CFR Part 60): The Executive Order prohibits federal contractors and federally-assisted construction contractors and subcontractors who do over $10,000 in Government business in one year from discriminating in employment decisions on the basis of race, color, religion, sex, or national origin. The Executive Order also requires Government contractors to take affirmative action to ensure that equal opportunity is provided in all aspects of their employment.

2. ***The Clean Air Act, Section 306:***

   a. No Federal agency may enter into any contract with any person who is convicted of any offense under section 113(c) for the procurement of goods, materials, and services to perform such contract at any facility at which the violation which gave rise to such conviction occurred if such facility is owned, leased, or supervised by such person. The prohibition in the preceding sentence shall continue until the Administrator certifies that the condition giving rise to such a conviction has been corrected. For convictions arising under section 113(c)(2), the condition giving rise to the conviction also shall be considered to include any substantive violation of this Act associated with the violation of 113(c)(2). The administrator may extend this prohibition to other facilities owned or operated by the convicted person.

   b. The Administrator shall establish procedures to provide all Federal agencies with the notification necessary for the purposes of subsection (a).

   c. In order to implement the purposes and policy of this Act to protect and enhance the quality of the Nation's air, the President shall, not more than 180 days after enactment of the Clean Air Amendments of 1970 cause to be issued an order (1) requiring each Federal agency authorized to enter into contracts and each Federal agency which is empowered to extend Federal assistance by way of grant, loan, or contract to effectuate the purpose and policy of this Act in such contracting or assistance activities, and (2) setting forth procedures, sanctions, penalties, and such other provisions, as the President determines necessary to carry out such requirement.

   d. The President may exempt any contract, loan, or grant from all or part of the provisions of this section where he determines such exemption is necessary in the paramount interest of the United States and he shall notify the Congress of such exemption.

   e. The President shall annually report to the Congress on measures taken toward implementing the purpose and intent of this section, including but not limited to the progress and problems associated with implementation of this section. [42 U.S.C. 7606]

3. ***The Clean Water Act:***

   a. No Federal agency may enter into any contract with any person who has been convicted of any offense under Section 309(c) of this Act for the procurement of goods, materials, and services if such contract is to be performed at any facility at which the violation which gave rise to such conviction occurred, and if such facility is owned, leased, or supervised by such person. The

prohibition in preceding sentences shall continue until the Administrator certifies that the condition giving rise to such conviction has been corrected.

b. The Administrator shall establish procedures to provide all Federal agencies with the notification necessary for the purposes of subsection (a) of this section.

c. In order implement the purposes and policy of this Act to protect and enhance the quality of the Nation's water, the President shall, not more than 180 days after the enactment of this Act, cause to be issued an order.

(1) Requiring each Federal agency authorized to enter into contracts and each Federal agency which is empowered to extend Federal assistance by way of grant, loan, or contract to effectuate the purpose and policy of this Act in such contracting or assistance activities, and
(2) Setting forth procedures, sanctions, penalties, and such other provisions, as the President determines necessary to carry out such requirement.

d. The President may exempt any contract, loan, or grant from all or part of the provisions of this section where he determines such exemption is necessary in the paramount interest of the United States and he shall notify the congress of such exemption.

e. The President shall annually report to the Congress on measures taken in compliance with the purpose and intent of this section, including, but not limited to, the progress and problems associated with such compliance.

f. (1) No certification by a contractor, and no contract clause, may be required in the case of a contract for the acquisition of commercial items in order to implement a prohibition or requirement of this section or a prohibition or requirement issued in the implementation of this section.

(2)In paragraph (1), the term "commercial item: has the meaning given such term in section 4(12) of the Office of Federal Procurement Policy Act (41 U.S.C. 4039(12)).

4. ***The Anti-Lobbying Act:*** This Act prohibits the recipients of federal contracts, grants, and loans from using appropriated funds for lobbying the Executive or Legislative Branches of the federal government in connection with a specific contract, grant, or loan. As required by Section 1352, Title 31 of the U.S. Code and implemented at 34 CFR Part 82 for persons entering into a grant or cooperative agreement over $100,000, as defined at 34 CFR Part 82, Section 82.105 and 82.110, the applicant certifies that:

a. No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, 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 making of any federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal grant or cooperative agreement;

b. 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, an officer or employee of Congress, or an employee of a member of Congress in

connection with this federal grantor or cooperative agreement, the undersigned shall complete and submit Standard Form –LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

c. The undersigned shall require that the language of this certification be include in the award documents for all sub-awards at all tiers (including sub-grants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

5. ***Americans with Disabilities Act:*** This Act (28 CFR Part 35, Title II, Subtitle A) prohibits discrimination on the basis of disability in all services, programs, and activities provided to the public by State and local governments, except public transportation services.

6. ***Drug Free Workplace Statement:*** The Federal government implemented the Drug Free Workplace Act of 1988 in an attempt to address the problems of drug abuse on the job. It is a fact that employees who use drugs have less productivity, a lower quality of work, and a higher absenteeism, and are more likely to misappropriate funds or services. From this perspective, the drug abuser may endanger other employees, the public at large, or themselves. Damage to property, whether owned by this entity or not, could result from drug abuse on the job. All these actions might undermine public confidence in the services this entity provides. Therefore, in order to remain a responsible source for government contracts, the following guidelines have been adopted:

   a. The unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited in the work place.

   b. Violators may be terminated or requested to seek counseling from an approved rehabilitation service.

   c. Employees must notify their employer of any conviction of a criminal drug statue no later than five days after such conviction.

   d. Although alcohol is not a controlled substance, it is nonetheless a drug. It is the policy of the Arkansas Department of Health WIC Program that abuse of this drug will also not be tolerated in the workplace.

   e. Contractors of federal agencies are required to certify that they will provide drug-free workplaces for their employees.

7. ***Debarment, suspension, and other responsibility matters:*** As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85.105 and 85.110.

   a. The applicant certifies that it and its principals:

      (1) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;

      (2) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust

statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(3) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(4) Have not within a three-year period preceding this application had one or more public transaction (federal, state, or local) terminated for cause of default.

b. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

8. The federal government reserves a royalty-free, non-exclusive, and irrevocable license to reproduce publish, or otherwise use, and to authorize others to use, for federal government purposes, the copyright in any work developed under a grant, sub-grant, or contract under a grant or sub-grant or any rights of copyright to which a contractor purchases ownership.