Child and Adult Care Food Program (CACFP) System Modernization RFP

**Attachment 15 - Functional and Nonfunctional Solution Requirements**

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# solution Requirements

The Bidder is instructed to complete the table below to verify its ability to meet the functional and nonfunctional solution requirements. If the Bidder’s entry to the "Response Code” column requires explanation or clarification, the explanatory text must be provided in the “Comments” column. A successful contractor will be expected to meet the requirements as outlined below.

Bidders must respond to all requirements in the table below using the following response codes:

**M** - Meets requirement out of box (with minimal configuration, e.g., adding values to a text box or drop-down menu via an administration interface)

**MC** - Meets requirement with configuration (e.g., designing a new form or screen through an administration interface)

**C** – Meets requirement, but customization required (creating new code is required)

| ID | Requirement Text | Response Code  (M, MC, C) | Comments |
| --- | --- | --- | --- |
| 206 | Functional system Requirements |  |  |
| 207 | General Functional Requirements |  |  |
| 208 | Workflow |  |  |
| 209 | The solution shall enable secure data sharing per NYS ITS security policies and dissemination to system participants. |  |  |
| 210 | The solution shall provide claims, applications and administrative review workflow capability enabling the automatic routing of work to appropriate users based on pre-defined business rules with 100% accuracy. See Exhibit A- Example of Workflow. |  |  |
| 211 | The automated workflows shall be utilized for internal CACFP processes, as well as leveraged to support external end user interactions. |  |  |
| 212 | The solution shall support workflow exception routing for claims, applications and administrative reviews, based on business rules and user groups. See Exhibit B- Example of Workflow Exception. |  |  |
| 213 | The solution shall notify users of upcoming work tasks, such as reviews, monitoring visits, and pre-approval visits. The notifications will include task descriptions, such as, “You have a new center site to approve”. |  |  |
| 214 | The solution shall enable users to view and update the status of their assigned work. |  |  |
| 215 | The solution shall enable viewing workflow status at the State and sponsor level. |  |  |
| 216 | The solution shall enable users to reroute unacceptable documents back to the originator. |  |  |
| 217 | The solution shall enable authorized users to view summary information about the tasks that have been assigned to their staff, including which tasks have been assigned to whom and how many tasks a staff person has. |  |  |
| 218 | The solution shall enable authorized users to reroute and reassign their staff’s work to respond to changes in staffing levels, high priority assignments, and changes in business needs. |  |  |
| 219 | The solution shall maintain a communication log and streamline electronic communications between internal users, as well as between the CACFP and sponsoring organizations. |  |  |
| 220 | The solution shall allow multiple branches of a workflow process to execute sequentially or simultaneously, such as for multiple approval queues. See Exhibit A- Example of Workflow. |  |  |
| 221 | The solution shall provide an indication of data elements required to move to the next status. |  |  |
| 222 | The solution's routing of workflow tasks, including ad-hoc changes in routing, shall result in a history log entry. |  |  |
| 223 | The solution shall provide solution-generated notifications that describe and alert users of certain events or deadlines that are approaching, due, or late. |  |  |
| 224 | The solution shall allow users to sort and categorize notifications by date, type, priority, and aging. |  |  |
| 225 | The solution shall provide the ability to set an alert to send a reminder notification to a user by calendar date/elapsed time. |  |  |
| 226 | The solution shall make available downloadable forms for sponsoring organizations during all application workflows. |  |  |
| 227 | The solution shall allow authorized users to add, modify, and delete the notification parameters, such as descriptions, effective dates, and workflow triggers. |  |  |
| 228 | Configurations |  |  |
| 229 | The system shall enable authorized users to maintain lists to be used as predefined, selectable drop-down lists for Administrative Reviewer, Fiscal Representative and Administrative Representative. |  |  |
| 230 | The system shall enable authorized users to modify the text of all error messages and to enable/disable error messages. |  |  |
| 231 | The solution shall enable authorized users to add, modify, and remove CACFP-specific online help tool tips. |  |  |
| 232 | The system shall enable authorized users to add and modify online help text. |  |  |
| 233 | The solution shall record the user name, date, time, and effective start and end dates for configuration changes made. |  |  |
| 234 | The solution shall enable authorized users to configure messages to users. |  |  |
| 235 | The solution shall enable authorized users to configure program year operations, including:   * Creating a new program year * Setting the annual reimbursement rates for homes * Setting the annual reimbursement rates for centers * Setting the annual accounting codes * Enabling users to enter data into the new program year |  |  |
| 236 | The solution shall retain historical program year configurations. |  |  |
| 237 | The solution shall enable authorized users to review and modify reimbursement rates for an open program year. |  |  |
| 238 | The solution shall enable authorized users to recalculate specified processed claims due to reimbursement rate changes. |  |  |
| 239 | The solution shall enable authorized user to configure password properties. |  |  |
| 240 | The solution shall enable authorized users to add and manage downloadable forms. |  |  |
| 241 | Security Roles |  |  |
| 242 | The solution shall provide the ability to assign access rights by user role. |  |  |
| 243 | The solution shall provide the ability to display a hierarchy of approval rights for users. |  |  |
| 244 | The solution shall provide access and authorization for system functions, configuration, data, and entry screens based on the user’s roles, responsibilities, and authority (as determined by the CACFP). |  |  |
| 245 | The solution shall provide the ability for an authorized user to add, change, and deactivate users of the system, such as a delegated admin role. |  |  |
| 246 | The solution shall provide the ability for an authorized user to perform system administration functions, including:   * Set and reset passwords * Define and maintain security roles * Define and maintain user profiles * Define and maintain system access levels |  |  |
| 247 | Bulk Upload |  |  |
| 248 | The solution shall enable bulk uploading of changed data without duplicating unchanged data. |  |  |
| 249 | The solution shall enable identified users to perform periodic bulk uploads of application data elements, in text file format, for all of its participating Centers. |  |  |
| 250 | The solution shall enable bulk uploading of child enrollment information from third-party point-of-service applications. |  |  |
| 251 | The solution shall allow bulk uploading of site/provider-level claim data to a sponsor-level claim from outside point of service. |  |  |
| 252 | Applications |  |  |
| 253 | Potential New Sponsor (PNS) |  |  |
| 254 | The solution shall provide a self-guided questionnaire to assist the potential new sponsor through the pre-screening process to determine CACFP eligibility. |  |  |
| 255 | The solution shall notify the potential new sponsor applicant if ineligible for CACFP and provide CACFP phone number and email for follow up. |  |  |
| 256 | The solution shall enable capturing information about potential new sponsors from first contact through the application approval process. |  |  |
| 257 | The solution shall provide the documents, based on organization type, required to be completed for the application process. These may be completed electronically within the system, completed electronically and uploaded, or downloaded and completed all offline. All uploaded documents must stay connected to the application. |  |  |
| 258 | The solution shall enable viewing and editing a PNS application. |  |  |
| 259 | The solution shall enable assigning and reassigning a PNS application to a CACFP staff member. |  |  |
| 260 | The solution shall provide separate tracks to accommodate both center and day care home sponsor applications. |  |  |
| 261 | The potential new sponsor capability shall enable an authorized state user to enter data, upload documents, and submit an application online. |  |  |
| 262 | The solution shall assign a unique identifier for each potential new sponsor application, which will become the agreement number when the sponsor application is approved. . |  |  |
| 263 | The solution shall enable a CACFP staff member to view, edit, return, place on/off hold, annotate, and complete a three-step approval process. |  |  |
| 264 | The solution shall capture and display the date of each status change on a PNS application. |  |  |
| 265 | The solution shall create a sponsor file from the data on the approved PNS application. |  |  |
| 266 | The solution shall validate day care Center and day care home provider license information entered in the PNS application against official licensing data received from the New York State Office of Children and Family Services (OCFS) and the New York City Department of Health and Mental Hygiene (NYCDOHMH). |  |  |
| 267 | The solution shall enable entering and tracking outreach activities to a potential new sponsor. |  |  |
| 268 | The solution shall enable tracking the number of application processing days to meet federal requirements. |  |  |
| 269 | The solution shall enable placing an application on and off hold. An application may be placed on a temporary hold while waiting for sponsoring organization action. |  |  |
| 270 | The solution shall calculate the number of days an application is in the on-hold status. |  |  |
| 271 | The solution shall notify the State Public Health Nutritionist of any modification to a PNS application. |  |  |
| 272 | The solution shall enable entering and viewing notes regarding the PNS application. |  |  |
| 273 | The solution shall generate a PNS application packet for online completion or printing. |  |  |
| 274 | Sponsor File |  |  |
| 275 | The solution shall enable a Sponsoring Organization to withdraw its CACFP participation. |  |  |
| 276 | The solution shall enable editing a sponsor record while maintaining a file change history. |  |  |
| 277 | The solution shall display record status and effective dates of sponsor file changes. |  |  |
| 278 | The solution shall display a sponsor file, including a list of its associated sites/providers and their status. |  |  |
| 279 | The solution shall enable adding a new site/provider to a sponsoring organization file. |  |  |
| 280 | The solution shall automatically generate a unique site/provider number for the new site/provider. |  |  |
| 281 | The solution shall enable editing and approving sponsor file information in accordance with business rules and role-based security. |  |  |
| 282 | The solution shall enable an authorized user to approve a sponsor file that is missing non-required items. |  |  |
| 283 | The solution shall retain, and display changes made since the previous version of any revised sponsor file item. |  |  |
| 284 | The solution shall enable the Sponsoring Organization to electronically acknowledge agreement with the terms in the certification statement prior to submitting changes to the sponsor/site/provider file. |  |  |
| 285 | The solution shall enable capturing detailed budget data and displaying summarized budget data with drill-down capability. |  |  |
| 286 | The solution shall allow authorized users to add and delete budget attachments. |  |  |
| 287 | The solution shall enable a Sponsoring Organization to create, view, and modify its budget data. |  |  |
| 288 | The solution shall provide the ability to approve budget modifications submitted by sponsoring organizations. |  |  |
| 289 | The solution shall generate a notification to day care home sponsoring organizations whose administrative reimbursement exceeds the approved budget. |  |  |
| 290 | The solution shall enable authorized users the ability to approve or modify the carryover administrative budget amendment. |  |  |
| 291 | The solution shall enable the Sponsoring Organization to capture and track the training it has provided to its sites/providers, including the date and topics covered in each training. |  |  |
| 292 | The solution shall display the seriously deficient status of a sponsoring organization. |  |  |
| 293 | The solution shall capture the claim entry method of the sponsoring organization. |  |  |
| 294 | The solution shall enable authorized users the ability to enter, modify, delete, submit, approve, return, deny, and view foodservice vendor’s contract (original and extension) information and supporting documentation, according to business rules. |  |  |
| 295 | The solution shall enable capturing foodservice vendor contract (original and extension) information for multiple sites at one time, according to business rules. |  |  |
| 296 | The solution shall identify foodservice vendor contracts that have expired and notify identified users according to business rules. |  |  |
| 297 | The solution shall capture and make available to users the historical foodservice vendor contacts information. |  |  |
| 298 | Site Files |  |  |
| 299 | The solution shall enable bulk transferring of a provider's application data from one sponsor to another. |  |  |
| 300 | The solution shall pre-populate the provider/site’s file with information from the Child Care Facility System (CCFS) and New York City Department of Health and Mental Hygiene (NYC DOHMH)’s licensing system. |  |  |
| 301 | The solution shall populate full addresses, including floor and apartment number, from the licensing files for centers and homes that are present on the licensing file. |  |  |
| 302 | The solution shall notify the sponsoring organization and the CACFP when a change has been made to a site file by the Child Care Facility System (CCFS). |  |  |
| 303 | The solution shall capture and store the geocode location of sites/providers from the licensing file, when available. |  |  |
| 304 | The solution shall enable entering site/provider information in accordance with federal regulations. |  |  |
| 305 | The solution shall enable a sponsor to complete and submit the site/provider file. |  |  |
| 306 | The solution shall perform edit checks to validate that the file was completed correctly. |  |  |
| 307 | The solution shall display the site/provider file status and effective dates, as defined by business rules. |  |  |
| 308 | The solution shall display error and warning messages if file updates fail the edit checks. |  |  |
| 309 | The solution shall enable editing a site/provider file, approving file revisions, displaying revisions, and setting effective dates for each revision separately. |  |  |
| 310 | The solution shall systematically modify site/provider file based on licensing data integrations as defined by business rules. |  |  |
| 311 | The solution shall notify CACFP Application Reviewers when a site/provider file needs to be approved. |  |  |
| 312 | The solution shall enable the State or sponsoring organization to close a site/provider that has not been automatically closed by licensing data. |  |  |
| 313 | The solution shall maintain a history of the site/provider closures and re-openings, including closed date, termination date, reason, and comments, as well as re-opening date. |  |  |
| 314 | The solution shall enable capturing and storing “State use only” information. |  |  |
| 315 | The solution shall produce a list of items that are required to be uploaded for approval when a new site/provider is added in the system and display the status of the document submission/approval and date of submission. All uploaded documents must stay connected to the application. |  |  |
| 316 | The solution shall notify a sponsoring organization of missing items that have not been uploaded when a new site/provider is added. |  |  |
| 317 | The solution shall display the seriously deficient status of a site/provider. |  |  |
| 318 | The solution shall allow the addition, modification, and deletion of provider visits, regardless of sponsoring organization file approval status. |  |  |
| 319 | The solution shall retain a historical record of all children on a provider’s roster and archive children from the roster after five years. |  |  |
| 320 | Child Information |  |  |
| 321 | The solution shall enable adding, editing, and viewing child information in a provider’s roster while maintaining historical data in accordance with business rules. |  |  |
| 322 | The solution shall enable entering child information. |  |  |
| 323 | The solution shall automatically generate a unique participant number for each child, per provider. |  |  |
| 324 | The solution shall perform edit checks to validate that the child enrollment information is complete. |  |  |
| 325 | The solution shall display error and warning notifications if the edit checks for the data in the child enrollment form failed. |  |  |
| 326 | The solution shall display enrollment status information. |  |  |
| 327 | The solution shall allow for the bulk upload of child enrollment information from third-party point-of-service applications. |  |  |
| 328 | The solution shall systematically change the tier of a child's enrollment to correspond with the tier of the provider when the tier of the provider is changed. |  |  |
| 329 | Renewals |  |  |
| 330 | The solution shall enable creating and storing annual renewals for Sponsoring Organizations. |  |  |
| 331 | The solution shall enable viewing, editing, and adding all items of the sponsor file to accommodate the renewal process. |  |  |
| 332 | The solution shall track the renewal status of each sponsoring organization. |  |  |
| 333 | The solution shall notify the Sponsoring Organization when an annual review of its file is required, and which items must be updated. |  |  |
| 334 | The solution shall send sponsor file renewal reminders to the sponsoring organization 30 days prior to the end of the federal fiscal year and periodically thereafter until the renewal is received. |  |  |
| 335 | The solution shall prepopulate the renewal file with all information, except the budget from the Sponsor Organization’s current file, for the Sponsor to review and update. |  |  |
| 336 | The solution shall display the prior year approved budget to aid the Sponsoring Organization in entering the renewal budget. |  |  |
| 337 | The solution shall automatically generate a day care home sponsoring organization’s racial/ethnic chart from provider files. |  |  |
| 338 | The solution shall enable the Sponsoring Organization to add, view, or delete its renewal document attachments. |  |  |
| 339 | The solution shall enable Sponsoring Organizations and the CACFP to add commentary notes to the Sponsor’s renewal file. |  |  |
| 340 | The solution shall enable the Sponsoring Organization to submit its renewal file and budget renewal document(s) to the CACFP for approval. |  |  |
| 341 | The solution shall enable the CACFP to return a renewal file to the Sponsoring Organization for correction if updates or additional information are needed. |  |  |
| 342 | The solution shall disable payment until renewal file is processed and approved. |  |  |
| 343 | Obesity Prevention |  |  |
| 344 | Track Eat Well Play Hard Child Care Settings (EWPHCCS) Deliverables |  |  |
| 345 | The solution shall identify eligible Centers that meet all of the following conditions:   * Has a center type of head start or child care * Serves preschool-aged children * Predefined zip code areas * Participates in CACFP |  |  |
| 346 | The solution shall allow for a one-time migration of historical implementation data into the database. This migration includes all data (SQL/Access/Excel) which is approximately 330MB. |  |  |
| 347 | The solution shall track and display years of program implementation for reporting purposes, including years of implementation from historical data. Historical data includes:  • Participation Data, Handouts provided, attendance, demographic information, Impact Statements, Classroom Activities, Session data  • System users, new centers for the program year, free and reduced price %s, ADA, and grantees |  |  |
| 348 | The solution shall enable CACFP Reporting staff to, add, remove, and modify user data. |  |  |
| 349 | The solution shall display and update CACFP center site contact and licensing data, such as:   * Center Site Name * Center Site Address (Street, City, State, Zip Code) * Center Site Number * License Number * Center Type * Breastfeed Friendly Designation |  |  |
| 350 | The solution shall enable capturing and storing of additional center site data, such as:   * Implementation Type * Classroom Name(s) * Class Type * Implementation Year |  |  |
| 351 | The solution shall generate required sessions based on pre-defined business rules. |  |  |
| 352 | The solution shall enable capturing, storing, and viewing of session data, searchable by center and other identified fields, across years of implementation. |  |  |
| 353 | The solution shall enable capturing and storing of session data, such as:   * Session Profile * Attendance * Handouts * Activities * Combine and Cancel Sessions * Impact Statements   Refer to Attachment F- CIPS Current State EWPHCCS Data for a description of the EWPHCCS database tables. |  |  |
| 354 | The solution shall enable the ability to add, modify, and delete center assignments of EWPHCCS registered dietitians (RD). |  |  |
| 355 | The solution shall enable the ability to add, modify, and delete session topics and session types. |  |  |
| 356 | The solution shall enable the ability to add, modify, and delete impact categories. Impact categories are values assigned to identify the group an individual belongs to that reported a behavior change. The following are impact categories: Child, Adult, Staff. |  |  |
| 357 | The solution shall enable capturing and storing of participant demographic data to meet USDA reporting requirements. |  |  |
| 358 | The solution shall enable the combining of session topics by classroom name within the same center site and across center sites. |  |  |
| 359 | The solution shall enable the capturing and storing of data for combined sessions. |  |  |
| 360 | The solution shall enable the capturing and storing of cancelled sessions. |  |  |
| 361 | The solution shall enable CACFP Reporting staff to add, modify and delete options for the following fields:   * Implementation Type * Participant Type * Session Topic * Session Type * Instructor Type * Impact Category * Activity Type * Activity Name * Recipe Name * Language of Handouts * Completion Date |  |  |
| 362 | The solution shall enable authorized users to add, modify, and delete activity names, activity types; session topics, recipe names, and session types. |  |  |
| 363 | Approve & Track BFF Designation |  |  |
| 364 | The solution shall enable capturing and storing information for centers and day care home providers in the process of earning a breastfeeding friendly (BFF) designation. |  |  |
| 365 | The solution shall provide sponsoring organizations the ability to complete an application (self-assessment) for a day care center or day care home to be designated as breastfeeding friendly (BFF). |  |  |
| 366 | The solution shall provide sponsoring organizations the ability to complete a breastfeeding friendly (BFF) designation renewal application for a day care center. |  |  |
| 367 | The solution shall determine breastfeeding friendly (BFF) designation eligibility based on business rules. |  |  |
| 368 | The solution shall provide the ability to review and modify breastfeeding friendly (BFF) applications. |  |  |
| 369 | The solution shall enable searching and viewing of breastfeeding friendly (BFF) applications that have been submitted. |  |  |
| 370 | The solution shall enable capturing the effective breastfeeding friendly (BFF) designation date. |  |  |
| 371 | The solution shall calculate the end date for a newly designated day care center breastfeeding friendly (BFF) designation based on the start date plus three years. |  |  |
| 372 | The solution shall notify a sponsoring organization if any of its day care centers are within 60 days of breastfeeding friendly (BFF) designation expiration. |  |  |
| 373 | The solution shall calculate the end date for a day care center breastfeeding friendly (BFF) renewal based on the renewal date plus three years. |  |  |
| 374 | The solution shall enable users the ability to document referrals for the breastfeeding friendly (BFF) designation to intervention day care centers and homes. |  |  |
| 375 | The solution shall enable capturing breastfeeding friendly (BFF) referral activity, such as:   * Date of contact * Contact * Type of contact |  |  |
| 376 | The solution shall systematically end a breastfeeding friendly (BFF) designation if a day care home provider closes or an onsite provider changes. |  |  |
| 377 | The solution shall systematically end a breastfeeding friendly (BFF) designation if a day care center closes. |  |  |
| 378 | Track F2P Deliverables |  |  |
| 379 | The solution shall enable capturing and storing of Farm to Preschool (F2P) sales data for parent/community/staff, such as:   * Farm to Preschool (F2P) site * Market date * Total sales * Transaction type and amount: cash, debit, and credit card sales; SNAP; FMNP for seniors and WIC; WIC checks (by various amounts); Fresh Connect; Other, etc. * Number of EBT transactions * Purchases by parent, staff, community members, or centers |  |  |
| 380 | The solution shall enable capturing and storing of Farm to Preschool (F2P) session data for child/parent/community/staff by grantee and site, such as:   * F2P classroom sessions * Food demonstrations |  |  |
| 381 | The solution shall enable capturing and storing of F2P session data, such as:   * Participant type * Demographic data * Direct and indirect participation * Duplicated and unduplicated participation * Session date * Session topic * Type of gardening project |  |  |
| 382 | The solution shall allow identified CACFP users to generate coupons to be used at farmers’ market locations and manage the issuance and redemption of the coupons. |  |  |
| 383 | The solution shall allow for a one-time migration of historical implementation data into the database. The Farm to Preschool data that is being migrated includes:   * The date, issuance, and redemption of the F2P coupons * Sales data by F2P site, market date, total sales, transaction type and amount, number of EBT transactions, and parent/staff/community member participation * Classroom gardening activities, including demographic data of the participants, direct and indirect participation, duplicated and unduplicated participation, session date, session topic, and recipe demonstrated/tasted |  |  |
| 384 | The solution shall track and display years of program implementation for reporting purposes, including years of implementation from historical data. |  |  |
| 385 | The solution shall enable CACFP Reporting staff to, add, remove, and modify user data. |  |  |
| 386 | The solution shall display CACFP center site contact data, such as:   * Center Site Name * Center Site Address (Street, City, State, Zip Code) * Center Site Number * License Number * Center Type |  |  |
| 387 | The solution shall enable capturing and storing of additional center site data, such as:   * Implementation Type * Classroom Name(s) * Class Type * F2P Implementation Year |  |  |
| 388 | The solution shall enable capturing, storing, and viewing of session data, searchable by center and other identified fields, across years of implementation. |  |  |
| 389 | The solution shall enable capturing and storing of session data, such as:   * Session Profile * Attendance * Activities * Combine and Cancel Sessions |  |  |
| 390 | The solution shall enable the ability to add, modify, and delete center assignments of EWPHCCS F2P Coordinator. |  |  |
| 391 | The solution shall enable the ability to add, modify, and delete session topics and session types. |  |  |
| 392 | The solution shall enable capturing and storing of participant demographic data to meet USDA reporting requirements. |  |  |
| 393 | The solution shall enable the combining of session topics by classroom name within the same center site and across center sites. |  |  |
| 394 | The solution shall enable CACFP Reporting Staff to add, modify, and delete options for the following fields:   * Implementation Type * Participant Type * Session Topic * Session Type * Instructor Type * Activity Type * Activity Name * Recipe Name * Language of Handouts * Number of Handouts by Language |  |  |
| 395 | The solution shall enable authorized users to add, modify, and delete activity names and activity types; and session topics and session types. |  |  |
| 396 | Financial Management |  |  |
| 397 | Chart of Accounts |  |  |
| 398 | Grant Tracking |  |  |
| 399 | The solution shall provide the ability for an authorized user to create and modify grant years. |  |  |
| 400 | The solution shall provide the ability for an authorized user to create and modify grant awards. |  |  |
| 401 | The solution shall provide the ability for an authorized user to create transfers between grants. |  |  |
| 402 | The solution shall provide the ability for an authorized user to view grant fund balances. |  |  |
| 403 | The solution shall allow authorized users to split grant funding between multiple State fiscal year budget authorities. |  |  |
| 404 | Account Coding |  |  |
| 405 | The solution shall allow authorized user to create a new program year with the corresponding accounting fund codes. |  |  |
| 406 | The solution shall allow authorized user to modify accounting fund codes. |  |  |
| 407 | Availability of Funds |  |  |
| 408 | The solution shall enable determining if there is adequate funding available to cover the approved prior-year claim. |  |  |
| 409 | The solution shall enable determining if there is adequate funding available to cover the approved current-year claim. |  |  |
| 410 | Accounts Payable |  |  |
| 411 | Advances |  |  |
| 412 | The solution shall enable an electronic Sponsoring Organization to request an advance payment for meal and/or sponsor administrative costs during the first half of the program year. |  |  |
| 413 | The solution shall enable an authorized CACFP user to request an advance payment for meal costs, on behalf of the sponsoring organization, during the first half of the program year. |  |  |
| 414 | The solution shall require electronic acknowledgement of the certification statement when requesting an advance. |  |  |
| 415 | The solution shall enable an electronic Sponsoring Organization to view its advance request information, the status of the request, and the balance by advance type. |  |  |
| 416 | The solution shall provide the ability for a CACFP authorized user to review an annual advance request, override the advance amount, and approve or deny the advance request. |  |  |
| 417 | The solution shall calculate the advance amount in accordance with business rules. |  |  |
| 418 | The solution shall provide a CACFP authorized user the ability to move approved advances into a payment batch. |  |  |
| 419 | The solution shall ensure that an advance request passes edit checks prior to including it in a payment batch. |  |  |
| 420 | The solution shall provide a CACFP authorized user the ability to adjust, stop, or recover advances at any time during the fiscal year. |  |  |
| 421 | Enter/Submit Claim |  |  |
| 422 | The solution shall enable the entering of original and adjusted claims by month within a specified program year. |  |  |
| 423 | The solution shall enable State users the ability to enter the claim received date and merchandise invoice received (MIR) date. |  |  |
| 424 | The solution shall enable capturing of the number of days of operation, total attendance, enrollment data, and total number of each type of meal served for each site/provider sponsored, in accordance with business rules. |  |  |
| 425 | The solution shall enable capturing of the monthly administrative expenses for day care home Sponsoring Organizations. |  |  |
| 426 | The solution shall enable electronic acknowledgment of the certification statement. |  |  |
| 427 | The solution shall enable submission of claims for payment. |  |  |
| 428 | The solution shall date-stamp claim submission transactions from Sponsoring Organization users and display the following dates:   * Received * Merchandise Invoice Received (MIR) * Accepted * Processed |  |  |
| 429 | The solution shall maintain the original claim data as submitted, if an adjusted claim or any subsequent claims are created within the same claim month. |  |  |
| 430 | For Sponsoring Organizations with more than one user authorized to submit claims, the solution shall ensure separation of duties (the claim submission is performed by a user other than the user who entered the claim). |  |  |
| 431 | The solution shall only allow entry of approved meals for the month being claimed. |  |  |
| 432 | The solution shall display the license capacity for the center during claim entry. |  |  |
| 433 | When a claim is uploaded, the solution shall validate that the site/provider is approved to claim and shall verify the claim data in accordance with business rules. |  |  |
| 434 | When a claim is entered, the solution shall verify the claim data is in accordance with business rules. |  |  |
| 435 | The solution shall verify the number of days claimed against the days of the month approved on the site/provider application. |  |  |
| 436 | The solution shall send a claim-received confirmation to the sponsoring organization’s payment contact, sponsor administrator, and user who submitted the claim. |  |  |
| 437 | The solution shall systematically accept a submitted claim that passes the edit checks. |  |  |
| 438 | The solution shall determine if a claim is late, based on business rules. |  |  |
| 439 | The solution shall allow a claim to be submitted with only one site or provider on the claim. |  |  |
| 440 | The solution shall allow a day care home provider to be claimed only if the tier dates are not expired for the claim month. |  |  |
| 441 | The solution shall notify a Sponsoring Organization when a site/provider claim has a status of pending, incomplete, or error. |  |  |
| 442 | The solution shall display errors and warnings that are present on site/provider claims, in accordance with business rules. |  |  |
| 443 | The solution shall display the entire claim summary after the claim has been submitted. |  |  |
| 444 | The solution shall display a message to the authorized user to contact CACFP in order to submit future claims for a month that is in the locked status (review or audit) |  |  |
| 445 | The solution shall prevent a Sponsoring Organization from revising or submitting adjustments on a claim if the claim has a review or audit lock status. |  |  |
| 446 | Edit Claim |  |  |
| 447 | The solution shall allow State authorized users to make the following changes to claims submitted electronically by sponsors:   * Date Received * MIR Date * Date Accepted * Claim Reason Code |  |  |
| 448 | The solution shall enable making changes to an existing claim when it is in the pending status (not yet submitted) or not yet accepted by CACFP staff. |  |  |
| 449 | The solution shall enable adding an adjusted claim after the previous claim for the same month has been processed. |  |  |
| 450 | Claims Payment Processing |  |  |
| 451 | Calculate |  |  |
| 452 | The solution shall calculate home sponsor administrative reimbursement based on the number of providers submitted on each claim and by appropriate reimbursement category. |  |  |
| 453 | The solution shall not calculate administrative earnings for day care home provider claims, unless additional providers are included on adjusted claims. |  |  |
| 454 | The solution shall calculate and display the total claim earnings (the sum of earnings as entered on the submitted claim). |  |  |
| 455 | The solution shall provide the ability to calculate the monthly cash in lieu (CIL) of commodities earnings based on lunches and dinners served at a day care center. |  |  |
| 456 | The solution shall calculate the average daily attendance for each center site and provider. |  |  |
| 457 | The solution shall calculate and display whether or not a for-profit center is eligible for reimbursement. A for-profit center is eligible only if one of the following is true:   * 25% of the enrolled participants or 25% of the licensed capacity (whichever is less) receive subsidized tuition payments * 25% of the enrolled participants or 25% of the licensed capacity (whichever is less) are eligible to be claimed in the free or reduced-price income eligibility category * Medicaid payments have been received for 25% or more of the enrolled adults. |  |  |
| 458 | The solution shall calculate reimbursement for each site/provider separately and calculate the sum total reimbursement of all sites/providers. |  |  |
| 459 | The solution shall calculate reimbursement for DCC meals and snacks (except at-risk, emergency shelters and Head Starts) as a percentage of the number of enrolled participants in the free, reduced-price, and paid reimbursement categories. |  |  |
| 460 | The solution shall calculate reimbursement for at-risk, emergency shelters and Head Start meals using the free rate. |  |  |
| 461 | Claims Processing |  |  |
| 462 | The solution shall enable flagging a sponsor organization whose payments need approval by the CACFP prior to processing the claim. |  |  |
| 463 | The solution shall prevent processing of claims for specified months for a sponsoring organization that has been flagged for additional review. |  |  |
| 464 | The solution shall track monthly expenditures based on the fund coding associated to a claim. |  |  |
| 465 | The solution shall allow authorized users the ability to override the late claim business rule by choosing a reason code and allowing the claim to be processed. |  |  |
| 466 | The solution shall capture the month and year of the claim for which the Sponsoring Organization uses a one-time exception. |  |  |
| 467 | The solution shall generate a notification, including a corrective action plan template, for a sponsoring organization’s board chair, when the claim is late, and the Sponsoring Organization is eligible to use a one-time exception. |  |  |
| 468 | The solution shall allow authorized users to upload and submit a corrective action plan for use of a one-time exception. |  |  |
| 469 | The solution shall allow authorized CACFP staff to approve or not approve a corrective action plan for a one-time exception. |  |  |
| 470 | The solution shall calculate the claim month and year for which a Sponsoring Organization is eligible for a one-time exception, according to business rules. |  |  |
| 471 | The solution shall allow the CACFP to reject a claim that has been submitted for payment by a Sponsoring Organization and maintain a record of the rejected claim. |  |  |
| 472 | The solution shall allow the CACFP to return a claim that has been submitted for payment by a Sponsoring Organization and maintain a record of the returned claim. |  |  |
| 473 | The solution shall generate and maintain a payment summary of the claims that were processed. |  |  |
| 474 | The solution shall display the sponsor payment amount, including any adjustments to the claim (such as: whether or not a payment was offset, where it was offset, and the actual amount paid) in the payment summary. |  |  |
| 475 | The solution shall display the adjusted claim reimbursements by site/provider, separately from the original claim reimbursements. |  |  |
| 476 | The solution shall generate and maintain a monthly record of the Sponsoring Organization claims that are flagged for additional review. |  |  |
| 477 | The solution shall enable capturing the status of a claim. |  |  |
| 478 | The solution shall capture, store, and display all claim data submitted for claims that have been returned or rejected. |  |  |
| 479 | The solution shall provide the ability for an authorized user to lock claims as accepted, to prevent changes by sponsors during the CACFP payment processing steps. |  |  |
| 480 | The solution shall display total claim earnings for day care home Sponsoring Organizations, including administrative and meal reimbursement. |  |  |
| 481 | The solution shall enable displaying the tier eligibility and Tier II-specific eligibility (low, mix, high) at which each provider was paid. |  |  |
| 482 | The solution shall send a claim rejection notification to the Sponsoring Organization’s payment contact, sponsor administrator, and user who submitted the claim when a claim is rejected by CACFP staff. |  |  |
| 483 | The solution shall notify the Sponsoring Organization if its claims reimbursement is pending receipt and review of supporting documentation, when a claim is submitted. |  |  |
| 484 | Payment Processing |  |  |
| 485 | The solution shall create an electronic payment file in accordance with State Financial System (SFS) requirements. |  |  |
| 486 | The solution shall provide the ability for an authorized user to create and modify a payment batch across fiscal years, if needed. |  |  |
| 487 | The solution shall systematically combine all transactions for a sponsor when creating a payment batch, regardless of fiscal year (i.e. positive and negative claims, advances). |  |  |
| 488 | The solution shall systematically assign the next available voucher number to each sponsor’s reimbursement when creating a payment batch. |  |  |
| 489 | The solution shall provide the ability for an authorized user to create and modify the payment schedule. |  |  |
| 490 | The solution shall systematically adjust the appropriate grant expenditures (including meals, CIL, sponsor administration, and start-up) when creating the payment schedule. |  |  |
| 491 | The solution shall provide the ability for authorized users to import and view payment files. |  |  |
| 492 | The solution shall enable uploading and storing warrant data. |  |  |
| 493 | The solution shall auto-populate claims with payment date, warrant number, and amount, by matching the voucher number in the imported payment file to the voucher number assigned to the claim. |  |  |
| 494 | The solution shall auto-populate claims with the reconciliation date by matching the warrant number and voucher number. |  |  |
| 495 | The solution shall enable processing a payment for a prior-year claim in accordance with business rules. |  |  |
| 496 | The solution shall create a user-accessible log (Fiscal Year Integrity Record) of all prior-year claims documenting the following:   * NYS fiscal year budget reference * Voucher number * Sponsor number * Month and year of recovery/payment * Project ID * Activity ID * Program * Chart field (should always be 11912) * Amount of payment. |  |  |
| 497 | The solution shall identify claims that do not have warrant data after processing, in accordance with business rules. |  |  |
| 498 | The solution shall, based on business rules, notify CACFP staff when a claim does not have warrant data. |  |  |
| 499 | The solution shall systematically send each sponsor named in the payment file its own payment summary each time the payment file is created. |  |  |
| 500 | Sponsor Administrative Funds |  |  |
| 501 | The solution shall provide the ability to carry over up to 10% of unused day care home Sponsoring Organization administrative funds into the next fiscal year. |  |  |
| 502 | The solution shall track the annual administrative reimbursement and expenses for day care home Sponsoring Organizations. This includes:   * Year-to-date reimbursement * Reported expenses * Administrative funds carried in from prior federal fiscal year. |  |  |
| 503 | The solution shall generate a notification to the day care home Sponsoring Organizations whose administrative reimbursement exceeds the reported expenditures. |  |  |
| 504 | The solution shall enable returning of day care home Sponsoring Organization excess administrative funds to the CACFP. |  |  |
| 505 | Account Receivables |  |  |
| 506 | The solution shall provide the ability for an authorized user to manage a Sponsoring Organization’s outstanding debts. |  |  |
| 507 | The solution shall provide the ability to process positive and negative adjusted claims, in the same transaction, from current-year claim reimbursements. |  |  |
| 508 | The solution shall maintain a list of outstanding debts by federal fiscal year and sponsor agreement number. |  |  |
| 509 | The solution shall include on the list of outstanding debts:   * Sponsor agreement number * Sponsor name * Reason for debt (i.e. review, downward adjustment) * Amount by category (meals, CIL, sponsor admin) * Partial repayments of debt, total balance due by sponsor (across fiscal years) * Interest charges. |  |  |
| 510 | The solution shall provide the ability for an authorized user to create an invoice from the list of outstanding receivables. |  |  |
| 511 | The solution shall calculate interest charges due to CACFP based on outstanding debt. |  |  |
| 512 | Invoices |  |  |
| 513 | The solution shall provide the ability for an authorized user to show partial payments on invoices. |  |  |
| 514 | The solution shall provide the ability for an authorized user to print invoices – original and those adjusted for partial payments. |  |  |
| 515 | The solution shall calculate the balance of amount due, including interest, after a partial payment has been applied. |  |  |
| 516 | Manual Adjustments |  |  |
| 517 | The solution shall provide the ability for an authorized user to create a manual adjustment for a sponsoring organization, in accordance with fiscal year integrity. |  |  |
| 518 | The solution shall provide the ability for an authorized user to modify a manual adjustment prior to processing. |  |  |
| 519 | The solution shall provide the ability for an authorized user to delete a manual adjustment prior to processing. |  |  |
| 520 | The solution shall provide the ability for an authorized user to process a manual adjustment. |  |  |
| 521 | Recovery |  |  |
| 522 | The solution shall allow for repayment of an identified recovery amount from current claims for reimbursement. |  |  |
| 523 | The solution shall allow authorized users to determine the amount of a recovery, without creating an adjusted claim. |  |  |
| 524 | The solution shall provide the ability for an authorized user to define when and how much to recover. |  |  |
| 525 | The solution shall notify authorized CACFP staff when a Sponsor Organization has stopped claiming but repayment has not satisfied business rules. |  |  |
| 526 | The solution shall allow for repayment by check via manual adjustments. |  |  |
| 527 | The solution shall allow downward adjusted claims to be processed for prior years. |  |  |
| 528 | The solution shall enable CACFP staff to flag a claim for audit or review and prevent the Sponsoring Organization from submitting a claim revision. |  |  |
| 529 | The solution must recover oldest funds in full before recovering more recent monies owed. |  |  |
| 530 | Administrative Reviews |  |  |
| 531 | The solution shall enable tracking progress of the administrative review, including but not limited to capturing when a review is required, when it is scheduled, and when it is complete. |  |  |
| 532 | The solution shall enable assigning, reassigning, and scheduling of the administrative review. |  |  |
| 533 | The solution shall enable assigning and adjusting staff workload and review by month, week, day, duration, and CACFP staff person. |  |  |
| 534 | The solution shall allow for searching and viewing program reviews by region, Sponsoring Organization number, Sponsoring Organization name, year in which they are due to be completed, review status, to whom the review is assigned, and review completion status. |  |  |
| 535 | The solution shall allow CACFP users to select the review purpose, such as:   * 3-year * 2-year * 90-day * New program * Pre-approval * Desk audit * Follow-up visits |  |  |
| 536 | The solution shall capture and track the status of each program review. |  |  |
| 537 | The solution shall determine if a program review is missing for a Sponsoring Organization and allow CACFP staff to add new program reviews. |  |  |
| 538 | The solution shall allow for a closed program review to be re-opened. |  |  |
| 539 | The solution shall store all correspondence for a program review and make it available to the Sponsoring Organization and CACFP staff. |  |  |
| 540 | The solution shall enable uploading of supporting documentation by Sponsoring Organization and CACFP staff. |  |  |
| 541 | The solution shall enable viewing of the current open program review, as well as the prior two program reviews. |  |  |
| 542 | When a program review is marked closed, the solution shall systematically create the next program review to be conducted in the future and identify a modifiable due date based on business rules. |  |  |
| 543 | The solution shall allow multiple users to view and edit a program review concurrently, without writing over each other’s modifications. |  |  |
| 544 | Planning for Administrative Reviews |  |  |
| 545 | The solution shall determine the number of reviews to be conducted each program year, based on the number of claiming sponsors reported on the March FNS-44 report. |  |  |
| 546 | The solution shall identify the Sponsoring Organizations and sites that may be reviewed, based upon federal and State criteria, and enable the user to select which of the identified programs will be reviewed. |  |  |
| 547 | The solution shall auto-generate a program review checklist for each program review and allow CACFP review staff to complete the checklist. |  |  |
| 548 | The solution shall capture and track site/provider reviews to be conducted at each program review. |  |  |
| 549 | The solution shall utilize the federal criteria, as defined by the USDA, to identify the programs to review. |  |  |
| 550 | The solution shall create and track the program review for a newly approved Sponsoring Organization. |  |  |
| 551 | The solution shall capture data prior to a program review being conducted and allow it to be seen by only CACFP staff. This includes data such as:   * Scheduled date of a program review * Review purpose * Whether the review is announced or unannounced * The CACFP review staff assigned to the review * Test month * Fiscal year * Due by date |  |  |
| 552 | The solution shall prepopulate the program review with application and claim data relevant to the review. |  |  |
| 553 | The solution shall enable exporting provider payment data to Microsoft Excel for trend analysis. |  |  |
| 554 | Conducting Administrative Review |  |  |
| 555 | The solution shall allow an authorized CACFP user to modify the set of predefined questions to be completed during an Administrative Review. |  |  |
| 556 | The solution shall enable capturing the details of the documentation reviewed, including:   * Attendance * Meal counts/meals delivered * Menus * Enrollment * Income eligibility * Expenses by cost category * Vended meal data * Monitoring documentation |  |  |
| 557 | The solution shall enable capturing observations from site visits. |  |  |
| 558 | The solution shall calculate, in accordance with business rules, claiming eligibility of each for-profit center site reviewed on the program review. |  |  |
| 559 | The solution shall calculate the expenditures for each cost category and the total for the test month. |  |  |
| 560 | The solution shall enable capturing conclusions and comments about the review. |  |  |
| 561 | The solution shall generate findings and recommendations based on responses to the predefined questions. |  |  |
| 562 | The solution shall provide a visual indicator for questions that have been skipped or left blank. |  |  |
| 563 | The solution shall compile and summarize findings for multiple site reviews, without duplicating items from each individual site. |  |  |
| 564 | The solution shall enable capturing whether a finding requires corrective action. |  |  |
| 565 | The solution shall identify findings related to noncompliance with federal regulations. |  |  |
| 566 | The solution shall calculate meal disallowance in accordance with business rules for each site/provider reviewed. |  |  |
| 567 | The solution shall provide the ability to enter and track all review findings and recommendations, including findings and recommendations that indicate a repeated violation from the previous review cycle. |  |  |
| 568 | The solution shall provide the ability to modify and delete findings and recommendations. |  |  |
| 569 | The solution shall calculate the potential review recovery amount for the program review, based upon business rules. |  |  |
| 570 | The solution shall enable an authorized user to disregard a review recovery. |  |  |
| 571 | The solution shall allow for a CACFP reviewer to add, modify, and delete predefined comments. |  |  |
| 572 | The solution shall allow for a CACFP reviewer to add, modify, and delete reviewer notes that are not viewable to the Sponsoring Organization. |  |  |
| 573 | The solution shall generate a report of findings and recommendations that can be made available to the Sponsoring Organizations. |  |  |
| 574 | Corrective Action Plans (CAPs) |  |  |
| 575 | The solution shall indicate whether or not a sponsoring organization is required to submit a Corrective Action Plan (CAP) in response to findings and recommendations. |  |  |
| 576 | The solution shall notify a Sponsoring Organization if supplemental (supporting) documentation is required with submission of a Corrective Action Plan (CAP). |  |  |
| 577 | The solution shall enable creating a Corrective Action Plan (CAP) paper form for the Sponsoring Organization to complete. |  |  |
| 578 | The solution shall enable submitting a Corrective Action Plan (CAP) response and supporting documentation electronically. |  |  |
| 579 | The solution shall allow a Sponsoring Organization to edit and save a response to findings and recommendations electronically, prior to submitting its Corrective Action Plan (CAP) to the CACFP. |  |  |
| 580 | The solution shall enable tracking the status of the Corrective Action Plan (CAP). The status may be:   * Open * Submitted * Not Approved * Approved |  |  |
| 581 | When a Corrective Action Plan (CAP) is submitted, the solution shall:   * Record the date and time of receipt * Notify the appropriate user of receipt |  |  |
| 582 | The solution shall provide the ability for CACFP review staff to approve or not approve each finding and recommendation response in the Corrective Action Plan (CAP) and provide rationale for the approval/not approval. |  |  |
| 583 | The solution shall enable returning a Corrective Action Plan (CAP) to the submitter of the plan. |  |  |
| 584 | If the Corrective Action Plan (CAP) is returned, the solution shall generate a notification identifying the remaining items and/or corrections needed and enables assigning a new due date for submitting the Corrective Action Plan (CAP) for approval. |  |  |
| 585 | The solution shall maintain a history log of finding and recommendation responses and each status, including the user, date, and timestamp. |  |  |
| 586 | Reporting |  |  |
| 587 | The solution shall provide the ability to query all fields, tables and views from a reporting database using a Business Intelligence (BI) solution provided by the contractor. |  |  |
| 588 | The solution shall enable saving a query or ad-hoc report for reuse. |  |  |
| 589 | The solution shall provide the ability to create pre-defined standard reports, customizable (parameter-driven) standard reports, and ad-hoc reports. |  |  |
| 590 | The solution shall provide a reporting capability that does not impact production environment transaction performance. |  |  |
| 591 | The solution shall enable users to configure the frequency, generation, and routing of standard periodic reports. |  |  |
| 592 | The solution shall enable authorized users to modify and override the report generation schedule. |  |  |
| 593 | The solution shall create predefined reports for Sponsoring Organizations specific to their agreement with the CACFP. Refer to Attachment B for a description of the required reports. |  |  |
| 594 | The solution shall create predefined reports for CACFP Staff. Refer to Attachment B for a description of the required reports. |  |  |
| 595 | The solution shall create predefined reports for EWPH Grantees. Refer to Attachment B for a description of the required reports. |  |  |
| 596 | The solution shall enable users to select from the available queries and reports. |  |  |
| 597 | The solution shall enable users to query based on user input via pick lists, parameters, cascading prompts, free-form data entry, or dynamic filters. |  |  |
| 598 | The solution shall provide the ability for users to select single, multiple, or all data elements from a list when specifying query/report criteria. |  |  |
| 599 | The solution shall notify the user of required data fields for parameter-driven reports. |  |  |
| 600 | The solution shall provide the ability for users to specify the applicable date range before generating reports. |  |  |
| 601 | The solution shall provide the ability for users to sort and aggregate the selected data by multiple levels, for reports such as the Final Report of the Child and Adult Care Food Program (FNS44) |  |  |
| 602 | The solution shall allow users the ability to drill down on reports to view the detailed information underlying aggregate data. |  |  |
| 603 | The solution shall provide users the ability to cancel a query/report before it completes. |  |  |
| 604 | When a query/report fails, the solution shall provide self-describing error messages that indicate the reason for failure. |  |  |
| 605 | The solution shall provide the ability to export report results in a standard format, including the following:   * Excel * Rich Text Format (RTF) and * HTML (Hypertext Markup Language) * PDF (Adobe Portable Document Format) |  |  |
| 606 | The solution shall identify run date and applicable report period on all reports. |  |  |
| 607 | Correspondence Management |  |  |
| 608 | The solution shall provide the ability to generate standard correspondence based on events or ad-hoc requests. |  |  |
| 609 | The solution shall provide spell checking for the customized portions of standard forms, letters, and notes before saving and/or printing. |  |  |
| 610 | The solution shall pre-populate correspondence with appropriate information (such as the date, addressee[s], mailing address) based on the defined document type and template. |  |  |
| 611 | The solution shall allow users to override the pre-populated information in the correspondence. |  |  |
| 612 | The solution shall provide the ability to link the correspondence to the associated record. |  |  |
| 613 | The solution shall generate a file of mailing label data that meets USPS requirements. |  |  |
| 614 | The solution shall update the history log noting the type of correspondence and date the correspondence was sent. |  |  |
| 615 | The solution shall provide a correspondence management component that provides secure, centralized storage, retrieval, and management of all correspondence related to a sponsor or site. |  |  |
| 616 | The solution shall allow users to sort correspondence using multiple sorting criteria. |  |  |
| 617 | The solution shall allow users to view multiple correspondence documents simultaneously. |  |  |
| 618 | The solution shall allow authorized users to create and modify correspondence templates and types and to name and categorize the correspondence templates and types. |  |  |
| 619 | The solution shall maintain a library of standard correspondence templates and types, searchable by keyword. |  |  |
| 620 | Audit |  |  |
| 621 | Single Audit Tracking |  |  |
| 622 | The solution shall enable capturing that a Sponsoring Organization is delinquent in providing its audit/certification. |  |  |
| 623 | The solution shall generate a notification and self-certification to each Sponsoring Organization whose audit/certification is past due. |  |  |
| 624 | The solution shall enable capturing and tracking audit-related correspondence with each Sponsoring Organization including:   * The date on which a notification was sent * The date on which a response is due * The date on which a response is received * The nature of the response * An indicator that no response was received |  |  |
| 625 | The solution shall notify the Sponsoring Organization and CACFP staff if a response is past due. |  |  |
| 626 | Risk Analysis |  |  |
| 627 | The solution shall include edit checks on claims, to assist in determining program compliance and flag abnormalities. |  |  |
| 628 | The solution shall assist in identifying where more comprehensive reviews are needed, based on identified business rules. |  |  |
| 629 | The solution shall include a data-mining capability to identify abnormal claiming trends, such as:   * Sponsors with reimbursement amounts that have increased significantly as compared to prior months * Sponsors with an increased number of participants claimed from the pre-approval visit * Sponsors with a significant change in meals claimed * Sponsors with enrollment data that does not fluctuate month to month * Sponsors who consistently submit their claim for reimbursement on the first of each month * Sponsors who submit their claim prior to the last meal opportunity for the claim month, including the last meal opportunity * Sponsors who claim the maximum number of meals allowed, based on days of operation and license capacity * Sponsors who trigger error messages to maximize their reimbursement amount |  |  |
| 630 | The solution shall identify and maintain a record of each abnormal trend, including:   * Date(s) related to the abnormality occurrence and identification * Sponsoring Organization * Nature of the abnormality * User who entered the data related to the abnormality |  |  |
| 631 | The solution shall enable identifying an abnormality as a risk. |  |  |
| 632 | The solution shall allow CACFP users to capture notes summarizing communications with the Sponsoring Organization for each identified risk. |  |  |
| 633 | The solution shall capture and track a status for each abnormality. |  |  |
| 634 | Seriously Deficient |  |  |
| 635 | The solution shall provide the ability to record the decision to indicate a Sponsoring Organization or responsible individuals as seriously deficient. |  |  |
| 636 | The solution shall allow CACFP staff to identify day care home providers that have been indicated as seriously deficient by Sponsoring Organizations. |  |  |
| 637 | The solution shall enable selecting the reason for indicating a Sponsoring Organization, responsible individuals, or day care home providers as seriously deficient. |  |  |
| 638 | The solution shall enable identifying the status of the seriously deficient Sponsoring Organization, responsible individuals, or day care home providers. The status may be the following:   * Seriously Deficient * Proposed to Terminate * Appeal * Temporarily Deferred * Terminate * Added to the National Disqualified List (NDL) |  |  |
| 639 | The solution shall enable capturing the date(s) and comments related to the serious deficiency process. |  |  |
| 640 | The solution shall enable the CACFP to create, view, and edit correspondence related to the serious deficiency process. |  |  |
| 641 | The solution shall track the status and amount of recoveries owed by the Sponsoring Organization or responsible individuals for the serious deficiency. |  |  |
| 642 | The solution shall enable capturing and tracking the status of serious deficiency corrective action plans (CAPs). |  |  |
| 643 | The solution shall enable the Sponsoring Organization or responsible individuals to enter and submit serious deficiency corrective action plans (CAPs) electronically. |  |  |
| 644 | The solution shall enable uploading and storing supporting documentation with the serious deficiency corrective action plan (CAP). |  |  |
| 645 | The solution shall track the number of Sponsoring Organizations and responsible individuals identified as seriously deficient. |  |  |
| 646 | The solution shall notify CACFP staff when items related to the serious deficiency process are due. |  |  |
| 647 | The solution shall enable uploading correspondence from the Sponsoring Organization related to the serious deficiency process and storing the correspondence with the provider record. |  |  |
| 648 | The solution shall maintain a history log of seriously deficient data for each status change, including the user, date, and timestamp. |  |  |
| 649 | Training |  |  |
| 650 | Creating and Accessing Training Opportunities |  |  |
| 651 | The solution shall allow CACFP staff to create and modify training categories and criteria for each training category. |  |  |
| 652 | The solution shall allow CACFP staff to add, modify, and delete training opportunities. |  |  |
| 653 | The solution shall assign a unique URL linked to the registration page for each training opportunity. |  |  |
| 654 | The solution shall capture a training profile for each training opportunity, including:   * Training Code * Training Status * Training Category * Training Name * Training Venue Name/Room * Training Capacity * Training Venue Address * Training Venue Reservation Date * Training Region * Training Date/Day/Start Time/End Time * Trainer Name #1/Trainer Name #2/Trainer Name #3 |  |  |
| 655 | The solution shall recommend training opportunities for a Sponsoring Organization, based on business rules. |  |  |
| 656 | The solution shall display a list of Sponsoring Organizations and their recommended trainings by training category. |  |  |
| 657 | The solution shall update the list of Sponsoring Organizations recommended for training based on newly approved applications. |  |  |
| 658 | The solution shall allow the CACFP to create, modify, and send training invitations to Sponsoring Organizations via email. |  |  |
| 659 | Enrolling in Training Opportunities |  |  |
| 660 | The solution shall allow CACFP staff to enroll and edit the enrollment of Sponsoring Organizations for trainings. |  |  |
| 661 | The solution shall allow CACFP staff to enroll a Sponsoring Organization in trainings that were not systematically recommended to the Sponsoring Organization. |  |  |
| 662 | The solution shall allow a Sponsoring Organization to enroll its users or other staff members for training. |  |  |
| 663 | The solution shall allow a Sponsoring Organization to view and edit its training enrollment. |  |  |
| 664 | The solution shall limit the number of individuals allowed to enroll in a training based on venue capacity. |  |  |
| 665 | The solution shall send a confirmation email to the Sponsoring Organization after successful enrollment in a training. |  |  |
| 666 | The solution shall capture the following data about each learner:   * Sponsor Number * Sponsor Name * Learner Name * Learner Position Title * Learner Email * Learner Phone Number * Notes/comments * Enrollment/Attendance Status. The enrollment/attendance status may be one of following: * Enrolled * Attended * No-Show * Walk-In |  |  |
| 667 | The solution shall maintain a wait list for each training that has reached capacity. |  |  |
| 668 | The solution shall send a notification to the wait-listed learner when a seat is available. |  |  |
| 669 | Tracking Training |  |  |
| 670 | The solution shall enable a CACFP staff member to identify the status of a training, such as:   * Open * Completed * Cancelled |  |  |
| 671 | The solution shall allow CACFP staff to view and print training enrollment by Sponsoring Organization. |  |  |
| 672 | The solution shall capture the following post-training evaluation information:   * Sent Date * Closed Date * URL |  |  |
| 673 | The solution shall allow for CACFP staff to upload and store an evaluation summary document with each training profile. |  |  |
| 674 | The solution shall maintain a history of training invitation dates and topics that were sent to each Sponsoring Organization. |  |  |
| 675 | Data Integration |  |  |
| 676 | The solution shall systematically receive and store licensing data from Child Care Facility System (CCFS) and New York City Department of Health and Mental Hygiene (NYCDOHMH) databases, in accordance with the permissions set forth in established data sharing agreements. |  |  |
| 677 | The solution shall compare existing licensing data in the database with new licensing data from the external file and capture changes to site/provider applications in the database, per pre-defined validations. |  |  |
| 678 | The solution shall update and display changes, and date of the change, to site/provider applications using imported licensing data, per business rules. |  |  |
| 679 | The solution shall retain database information for seven years. After seven years the data can be destroyed, and a Data Destruction Affidavit certification must be provided to the Department. |  |  |
| 680 | Nonfunctional System Requirements |  |  |
| 681 | User Interface |  |  |
| 682 | The solution shall comply with the mandatory Universal Navigation to be used for all New York State government entities' public web sites and web applications: <https://its.ny.gov/document/new-york-state-universal-web-navigation>. |  |  |
| 683 | The solution shall comply with the NYS policy on Advertisements, Endorsements and Sponsorships on State Entity Websites: <https://its.ny.gov/document/advertisements-endorsements-and-sponsorships-state-entity-websites>. |  |  |
| 684 | The solution shall provide the following word processing features on narrative text fields:   * Spell and grammar check * Cut/paste * Copy * Italic, bold, and underline   A narrative text field is a text box that allows for the entry of free text. |  |  |
| 685 | The solution shall provide a standard web browser interface (current IE, Edge, Firefox, Chrome, Safari versions) for all end user functions. |  |  |
| 686 | The solution shall implement a responsive web design that adapts to desktop browsers and mobile devices, adjusting layout to the size of the screen. |  |  |
| 687 | The solution shall support secure remote access (https). |  |  |
| 688 | The solution shall use lookup tables, pull-down menus, drop-down lists, hover overs, and checkboxes. |  |  |
| 689 | The solution shall provide the ability to enter and save comment notes. |  |  |
| 690 | The solution shall allow multiple users to view a record simultaneously. |  |  |
| 691 | The solution shall implement record locking to prevent multiple users from writing over each other’s modifications. (Record locking automatically locks a record the moment a user begins the editing process, to prevent simultaneous edits of the same data. The lock is released when the user saves or otherwise abandons the edits.) |  |  |
| 692 | The system’s error messages shall be explanatory and shall not require the user to look up error codes or numbers. |  |  |
| 693 | The solution shall leave data that is correct on the screen and only require the user to correct data fields in error. (The solution should not automatically blank out all fields when an error is flagged.) |  |  |
| 694 | The solution shall enable capturing date information by data entry or by selecting a date from a calendar. |  |  |
| 695 | Data Entry/Validation |  |  |
| 696 | The solution shall auto-populate (pre-fill) data fields across all modules, once data is entered into the solution, to reduce the need for duplicate entry. |  |  |
| 697 | The solution shall provide edit checks for data entry fields and shall run these edit checks at predefined intervals during the business process. |  |  |
| 698 | The solution shall account for every system transaction/data entry by displaying the username, date and time on the appropriate screen in the solution. |  |  |
| 699 | The solution shall apply field-, screen-, form- and transaction-level validations and business rules upon data entry and shall provide immediate feedback to aid the user. |  |  |
| 700 | Help |  |  |
| 701 | The solution shall provide online user help documentation that is indexed and searchable. |  |  |
| 702 | Navigation |  |  |
| 703 | The solution shall prompt the user to save data prior to navigating to another screen, to prevent data loss. |  |  |
| 704 | The solution shall enable users to return to previous screens to the extent possible without conflicting with security requirements. For example: ‘bread crumb’ trail or ‘back’ button. |  |  |
| 705 | The solution shall include action buttons on all screens and shall allow the user to select the “enter” button on the keyboard to perform the action. |  |  |
| 706 | The solution shall provide ‘hover over’ screen tips for action buttons on all screens (enables users to see a description of where the button will take them or what activity the button will perform). |  |  |
| 707 | Search |  |  |
| 708 | The solution shall allow users to retrieve data using search and filter features that align with the data in the solution, based on user security roles. For example, a sponsor user search should only yield data they are allowed to view. |  |  |
| 709 | The solution shall provide the ability to search records by partial information, date or date range, and combinations of data fields, to the extent possible without compromising system performance. |  |  |
| 710 | The solution shall allow search results to be sorted. |  |  |
| 711 | When more than one record matches the search criteria, the solution shall display a list of all matching records. |  |  |
| 712 | Accessibility |  |  |
| 713 | The solution shall meet applicable state and federal disability accessibility laws and standards; specifically, NYS-P08-005 and Section 508 of the Rehabilitation Act as referenced in Government Code 11135. <https://its.ny.gov/document/accessibility-web-based-information-and-applications-compliance-reporting>. |  |  |
| 714 | The solution shall provide a single point of access to all software applications and data, based on user access privileges. |  |  |
| 715 | The solution shall be device independent so that users are able to access and easily navigate the systems with desktops, laptops, tablets, and mobile smart phones. |  |  |
| 716 | Capacity and Performance |  |  |
| 717 | The CACFP anticipates that the Contractor’s environment will utilize load balancing and cluster technology. The CACFP recognizes that system performance can vary depending upon hardware, system design, architecture, and associated technologies. Given the variance in solution design and architecture possibilities, the CACFP will work collaboratively with the selected Contractor to establish measurable performance goals for throughput, user load and stability over time. |  |  |
| 718 | The solution shall be able to accommodate access to 5,000 users with 1,500 concurrent connections. |  |  |
| 719 | The solution shall provide a maximum one-second response time for general page navigation. |  |  |
| 720 | The solution shall provide a maximum seven-second response time for data validation. |  |  |
| 721 | The solution shall provide a maximum 15-minute response time for data upload. Typically, files are less than 30 MB. |  |  |
| 722 | The solution shall enable generating a report in less than five minutes. |  |  |
| 723 | The solution shall provide the ability to upload and store 10,000 documents (average document size of 1 KB) per year. Documents must be retained for at least 7 years. |  |  |
| 724 | Availability |  |  |
| 725 | The solution shall be available 24 x 7 x 365, excluding scheduled maintenance and during unplanned downtime outside service hours. |  |  |
| 726 | Interoperability |  |  |
| 727 | The solution shall provide the ability to import and upload of data from flat files, such as text files. |  |  |
| 728 | The solution shall enable seamless sharing of information between the various modules (to achieve, for example, a display of CACFP Sponsoring Organization information). |  |  |
| 729 | The solution shall enable uploading and storing files in standard formats such as: MS Office and Adobe. |  |  |
| 730 | Security |  |  |
| 731 | The solution shall require users to utilize multi-factor authentication technology, compliant with National Institute of Standards and Technology (NIST) 800-63 Authenticator Assurance Level 3, prior to accessing data and using the solution. Certification of compliance must be provided to the Department. |  |  |
| 732 | The solution shall comply with the NYS Enterprise Information Security Office, ITS Information Security Policies and Standards. (<https://its.ny.gov/eiso/policies/security>) The solution is subject to verification of compliance to be conducted by the Department. |  |  |
| 733 | The solution shall enable authorized CACFP users to lock non-administrative access to system components in the event of a suspect incident or security breach. |  |  |
| 734 | The solution shall provide a customizable user access management capability that enables authorized users to assign user access by role and/or organization. |  |  |
| 735 | The solution shall maintain an audit trail of all additions, changes and deletions to the user profile. |  |  |
| 736 | The solution shall include appropriate controls to ensure that audit logs are never altered. Audit logs must meet NYS [Acceptable Use of Internet Technology Resources Policy](https://its.ny.gov/document/acceptable-use-information-technology-it-resources-policy). |  |  |
| 737 | The solution shall provide the ability for all modules the end-user is authorized to use to be accessed through one sign-on into the system. |  |  |
| 738 | The solution shall pass all uploaded data and documents thru virus protection scanning. |  |  |

# Exhibit A- Example of Workflow

**HOMES CLAIMS - Received within 60 days**

CIPS receives Homes claims electronically each day

After send, a printout from DCH claim tracking is printed showing all accepted claims

claims

Original claims are printed as is. Adjusted claims are created in Word, printing only approved providers for that adjustment

are created in Word, printing only the approved providers.

Claims are printed and placed in bucket for review

All providers on claim are checked against an expired tier 1 status report.

The active/approved providers are also checked by highest #’s to be sure the days do not exceed total allowed for month.

If they show on report the sponsor deletes them from the claim, updates in applications and puts the provider back on claim and submit claim back to us.

The number of days allowed can be checked in DocStar by viewing the date approved for submitting on application or in CIPS under first submission claim date in sponsor use only

If provider is not on list, DocStar is checked for 3705 (provider may be new) If 160 is not in DocStar the sponsor is called to send the 160 either by email or fax before provider can be approved on claim

Homes batches are processed in same manner as the Center claims Electronic file is systematically created and exported to the X:/drive where it is saved for historical purposes

At the close of each day, an email is sent to Barb telling her what Homes claims can be released for payment on the next business day.

In CIPS under applications, the closed providers are checked. If showing as closed for the month, the date closed is written next to the provider on claim

Provider is viewed on the claim and # of days claiming is checked to be sure they do not exceed closed date

In applications, unapproved is checked to see what version the unapproved provider is attached to

The attached version is found in DCH reports showing the attached version. If the unapproved is not connected to the version with the claim, then it is ok

After all data has been verified, the claim is set for payment. If there are any issues, the claim is held until resolved by sponsor. If holding longer than two days, the provider is called or emailed that claim is still being held

Alpha folder is pulled for sponsoring agency to compare providers on claim with list.

There must be a 3705 (application) on file for each provider. Any provider in bold on Alpha list requires a 160 (On-site provider addendum)

# Exhibit B- Example of Workflow Exception

**CENTER CLAIMS - Received after 60 days**

Paper claim comes into CACFP

Regular Mail - mail clerk opens & date stamps paper claim before giving to claims clerk

Claim faxed in. Printed & given to claim clerk

Claim clerk enters date received & MIR date of the claim

CAP is completed with voucher # & amount then scanned & filed

Claim is processed (see Claims Received Within 60 days)

Supervisor approves and submits claim

Claim issues, if any, are resolved by clerk

Original ‘Rejected/Returned Claim Notification’ form and paper claim is mailed to the sponsor

Click “Return Claim” button on Center Claim List screen

One-time exception sent to sponsor with copy of claim

Is it an authorized signature on claim and does it match the one in DocStar?

Yes

Claim is kept in CIPS with a status of “Rejected”

Center site claim data entered for historical purposes

Claim clerk enters date received & MIR date of late claim and clicks “Save”

Clerk contacts sponsor to offer One-time exception & discuss claim issues if necessary

Errors?

One-time exception CAP approved & claim marked as One-Time Exception

One-time exception CAP received from sponsor

Claim clerk contacts sponsor for new claim with authorized signature or new COA

Claim clerk contacts sponsor for correct claim information. Make notation in claim comments.

One-time exception CAP not received from sponsor

Copy of ‘Rejected/Returned Claim Notification’ form and paper claim is made for scanning & filing in sponsor file

Notation made in claim comments - fax copy received. Clicks “Save”

Clerk checks One-time exception eligibility

Center site claim data entered

No

Receives “Beyond 60-day deadline” error

E-mail systematically sent to sponsor administrator & payment contact (if differs from sponsor administrator)

Copy of one-time exception letter and original claim scanned and filed

Clerk clicks “Reject Claim” button on Center Claim List screen