AASHTOWare
Service Unit Procedures

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Service Unit Acquisition

1) AASHTO provides the opportunity for member agencies to purchase Service Units to enable convenient access to needed services by the AASHTOWare contractor. The purchase of service units is at the prerogative of the agency. AASHTO serves as facilitator by accepting the commitment for such contractor-provided services, invoicing and receiving payment from the agency and forwarding the order to the contractor for the appropriate number of service units. Payment for services rendered by the contractor to the agency is made on a monthly basis based on the actual number of units or partial units delivered to the agency.

2) An agency may acquire one or more fixed-fee increments or units of contractor-provided service (service units) to support user training needs, user-specific enhancements or to support the funding of enhancements to the product. If the agency intends the enhancement to become part of the core AASHTO-supported product, the request must be coordinated through the task force.

3) Agencies should review their service needs with the contractor and obtain a firm estimate of the number of service units required for the contractor to meet the needs of the agency.

4) Agencies should establish work plans and other terms and conditions of service, including the schedule for delivery, prior to submitting their Service Unit commitment.

5) The Product Task Force reserves the right to review work plans for Service Unit work to ensure conformance with the guidelines for their use.

6) Service units remaining at the conclusion of a fiscal year will be carried forward into the next fiscal year. If the unit price in the subsequent year differs from the prior year’s unit price, the number of service units carried forward will be adjusted to reflect the subsequent year unit price. However, the dollar value of the licensee’s service units available will remain the same.

Service Unit Contractors are independent contractors and are solely responsible for all aspects of the performance, delivery, quality and terms and conditions of service they provide to agencies. AASHTO SHALL NOT BE RESPONSIBLE AND DISCLAIMS ANY AND ALL LIABILITY FOR ANY DAMAGE OR LOSS WHATSOEVER, INCLUDING PERSONAL INJURY, DAMAGE TO PROPERTY, OR LOSS OF BUSINESS OPERATIONS, INFORMATION OR DATA, ARISING OUT OF OR RELATING TO ANY ACT OR OMISSION OF SERVICE UNIT CONTRACTORS, THEIR EMPLOYEES, AGENTS AND SUBCONTRACTORS.
Service Unit Work Options

1) Service units are intended to provide consultation and support to assist the licensee in the implementation of AASHTOWare products, to incorporate functional enhancements, or to provide training in the use of AASHTOWare products. Service Unit work by the contractor may include the following types of enhancement or service/support activities:
   a) Service/Support Activities
      i) Providing specialized training in the use of AASHTOWare products;
      ii) Updating prior releases of product databases;
   b) Enhancement Activities
      i) Adding new agency-specific features to the system;
      ii) Developing custom interfaces and reports;
      iii) Supporting common software enhancements unfunded through product licensing fees that will become part of the code base and will be supported by Maintenance, Support and Enhancement (MSE) costs; and
      iv) Incorporating analytical or specification engines into AASHTOWare products.

2) The examples listed above may require more than one service unit each, depending on specific agency requirements, and the determined cost of the enhancement and/or activity.

3) Service units are not intended to be used for work involving major new software development by member agencies. However, service units may be converted to provide additional enhancement funding under the guidance of the Task Force.

4) To ensure that ownership issues are addressed and the requested additional work to be accomplished with Service Units is appropriately coordinated with on-going activities, significant development work related to AASHTOWare products and enhancement requests using service units must be reviewed by the AASHTOWare product Task Force prior to the work being performed. A two (2) week period for Task Force review is typical.

5) Contractor changes to the core (generic) product source code must be reviewed and approved by the Task Force. A two (2) week period for Task Force review is typical.

6) Service units may not be used to provide reimbursement for travel expenses by agency personnel.
Process for Service/Support Activities Funded by Service Units

The process for service unit use varies by the type of activity (i.e., service/support activity v. enhancement activity) and the level of the scope of work to be performed; the greater the scope of work, the greater the development and review process. The following illustrates the general steps associated with Service/Support Activities funded by Service Units process.

Stage 1: Concept

1) Concept
   a) The requesting agency develops a high-level scope of work to be performed and forwards it to the AASHTO Project Manager.
   b) The AASHTO Project Manager arranges a discussion between the requesting agency, representatives from the product Task Force and the product contractor to discuss the scope of the requested work to be performed. Discussion may include:
      i) Review of the proposed scope of work;
      ii) Category of work to be performed (i.e., specialized training, installation assistance, data migrations support); and
      iii) Potential impacts to ongoing Task Force work.
   c) The AASHTO Project Manager informs the agency of the Task Force’s concerns, issues and suggestions and attempts to work out an accommodating solution.
   d) The product Task Force approves or disapproves the Concept to proceed to stage 2, Contractor Resource Identification. The product Task Force chair communicates the decision to the AASHTO Project Manager.
2) Contractor Resource Identification
   a) Following the approval of the product Task Force, the contractor determines the level of effort that
      would be required to develop the detailed work plan including:
         i) Specific resource(s) that would be used to develop the proposal / work plan; and
         ii) Anticipated level of effort for proposal / work plan development.
   b) The contractor forwards the resource requirements (specific team members to be used for
      proposal development and estimated level of effort) to the product Task Force for approval to
      proceed.
   c) The product Task Force approves or disapproves the Contractor Resource identification to proceed
      to stage 3, Work Plan Development. The product Task Force chair communicates the decision to the
      AASHTO Project Manager.

3) Work Plan Development
   a) Following the approval of the product Task Force, the contractor works with the requesting agency
      to document detailed user requirements. Depending upon the level of work, the work plan
      development takes the form of a proposal (a few pages) or a more detailed work plan (several
      pages) that may include:
         i) Specific tasks to be performed; and
         ii) Documentation deliverables.
b) The contractor develops and documents the requirements, schedule, and cost estimate for the task(s) and submits to the requesting agency for review, comment and negotiation.

c) The requesting agency reviews the requirements, schedule, and cost estimate; provides comments; negotiates with the contractor; and provides approval of the agreed upon proposal in writing.

d) Once the contractor and the agency have reached agreement and are ready to proceed, the agency sends the proposal to the AASHTO Project Manager for review.

4) AASHTO Project Manager Review
   a) The project manager verifies that the agency has a sufficient number of service units to accomplish the work; if not, the project manager discusses the need to purchase additional service units to fund the requested work with the requesting agency. The proposal will be forwarded for product Task Force approval when the required number of service units are confirmed to be available.

b) The Project Manager forwards the work plan to the Task Force for review and approval (stage 5, Product Task Force Review / Approval).

Stages 5 and 6: Product Task Force Review/Approval – AASHTO PM Processing

5) Product Task Force Review / Approval
   a) The product Task Force offers comments and recommendations.

b) The AASHTO Project Manager forwards the product Task Force comments and recommendations to the requesting agency for consideration.

c) At the end of the review period, the AASHTO Project Manager contacts the requesting agency to verify they are still interested in proceeding, or coordinates issues to be resolved between the agency and the Task Force if necessary.

d) The requesting agency provides the AASHTO Project Manager with a ‘commitment’ letter authorizing the use of ‘x’ service units to support the work effort.
6) **AASHTO Project Manager Processing**
   a) The AASHTO Project Manager signs the notice-to-proceed (NTP) which outlines the number of service units to be used and includes a brief description of the work to be performed.
   b) The AASHTO Project Manager scans and emails the NTP to the contractor, the agency contact person and the agency end user designee, if different.
   c) The AASHTO Project Manager maintains a copy of the signed NTP with the service unit work plan / proposal.
   d) The AASHTO Project Manager instructs the contractor and requesting agency to obligate the number of service units needed on the service unit report. Service units for agency-specific work are ‘encumbered’ to ensure the service units are not later re-obligated for future work.

**Stages 7, 8 and 9: Contractor Work Performed – Task Force Review – Payment**

7) **Contractor Work Performed**
   a) The contractor proceeds with the work detailed in the work plan.
   b) The requesting agency reviews the service/support work as it proceeds.
   c) The contractor submits monthly invoices for work based on completion of the milestones identified in the work plan to the AASHTO Project Manager until the task is completed. (Agency approval documentation may be submitted as an attachment to the monthly invoices.) The contractor sends copies of the invoices to the requesting agency representative and the product Task Force Chair.
   d) Concurrent with the submission of the monthly invoices, the contractor delivers a monthly consolidated Service Unit status report to the product Task Force Chair and AASHTO Project
Manager. At a minimum, the contractor delivers Service Unit status reports to product End User Designees on a quarterly basis (March, June, September, and December) for all agencies with active Service Unit work efforts and on an annual basis (June) for all agencies with Service Unit non-zero balances that are inactive.

e) The requesting agency representative monitors their agency Service Unit reports to ensure they are in agreement with activities and payments associated with their Service Unit ‘accounts’.

8) **Product Task Force Review**
   a) In concert with the review and approval of the monthly development contract invoices, the Task Force Chair reviews and approves the Service Unit invoices for payment. In the absence of information conveyed by the requesting agency to hold payment for service unit work documented for payment in the agency’s service unit report, the Task Force Chair will approve the invoice for payment.

9) **Payment**
   a) The AASHTO Project Manager processes approved invoices for payment.

**Process for Enhancement Activities Funded by Service Units**

The process for service unit use varies by the type of activity (i.e., service/support activity v. enhancement activity) and the level of the scope of work to be performed; the greater the scope of work, the greater the development and review process. The following illustrates the general steps associated with Enhancement Activities funded by Service Units process.

**Stage 1: Concept**

1) **Concept**
   a) The requesting agency develops a high-level scope of work to be performed and forwards it to the AASHTO Project Manager.
b) The AASHTO Project Manager arranges a discussion between the requesting agency, representatives from the product Task Force and the product contractor to discuss the scope of the requested work to be performed. Discussion may include:

i) Review of the proposed scope of work;

ii) Category of work to be performed (i.e., agency-specific enhancements, development of custom reports, common software enhancements, incorporating add-on product(s) into AASHTOWare products);

iii) How the requested work may or may not align with future plans for the product;

iv) Whether or not other licensing agencies may be interested in participating in the requested work to be performed (i.e., enhancement, added functionality); and

v) Potential impacts to ongoing Task Force work.

c) The AASHTO Project Manager informs the agency of the Task Force’s concerns, issues and suggestions and attempts to work out an accommodating solution.

d) Based on the feedback from the Task Force, the requesting agency determines whether or not the enhancement activity is a candidate for multi-agency funding (via Service Unit contributions). If so, the requesting agency performs an outreach to the agency licensee community, directly or through the support of the Task Force, to solicit other agencies interested in supporting the requested enhancement.

e) The product Task Force approves or disapproves the Concept to proceed to stage 2, Contractor Resource Identification. The product Task Force chair communicates the decision to the AASHTO Project Manager.

**Stage 2: Contractor Resource Identification**

![Diagram of Stage 2: Contractor Resource Identification]

2) Contractor Resource Identification

a) Following the approval of the product Task Force, the contractor determines the level of effort that would be required to develop the detailed work plan including:

i) Specific resource(s) that would be used to develop the proposal / work plan; and
ii) Anticipated level of effort for proposal / work plan development.

b) The contractor forwards the resource requirements (specific team members to be used for proposal development and estimated level of effort) to the product Task Force for approval to proceed.

c) The product Task Force approves or disapproves the Contractor Resource identification to proceed to stage 3, Work Plan Development. The product Task Force chair communicates the decision to the AASHTO Project Manager.

**Stages 3 and 4: Work Plan Development - AASHTO Project Manager Review**

3) **Work Plan Development**

   a) Following the approval of the product Task Force, the contractor works with the requesting agency to document detailed user requirements. Depending upon the level of work, the work plan development takes the form of a proposal (a few pages) or a more detailed work plan (several pages) that may include:

      i) Descriptive functional user requirements;

      ii) Functionality deliverables;

      iii) Documentation deliverables; and

      iv) User stories.

   b) The contractor develops and documents the user/system requirements, schedule, and cost estimate for the task(s) and submits to the requesting agency for review, comment and negotiation.

   c) The requesting agency reviews the user/system requirements, schedule, and cost estimate; provides comments; negotiates with the contractor; and provides approval of the agreed upon proposal in writing.

   d) Once the contractor and the agency have reached agreement and are ready to proceed, the agency sends the proposal to the AASHTO Project Manager for review.
4) **AASHTO Project Manager Review**
   
   a) The project manager verifies that the agency has a sufficient number of service units to accomplish the work; if not, the project manager discusses the need to purchase additional service units to fund the requested work with the requesting agency. The proposal will be forwarded for product Task Force approval when the required number of service units are confirmed to be available.

   b) The Project Manager forwards the work plan to the Task Force for review and approval (stage 5, Product Task Force Review / Approval).

5) **Product Task Force Review / Approval**
   
   a) The product Task Force reviews the service unit work plan.

   i) If the work plan is for agency-specific work,
      
      (1) The product Task Force offers comments and recommendations. Comments and recommendations generally focus on technical suggestions and/or information associated with other agencies that may be interested in securing functionality similar to what is being proposed in the service unit work plan.

      (2) The AASHTO Project Manager forwards the product Task Force comments and recommendations to the requesting agency for consideration.

      (3) At the end of the review period, the AASHTO Project Manager contacts the requesting agency to verify they are still interested in proceeding, or coordinates issues to be resolved between the agency and the Task Force if necessary.

   ii) If the work plan is for work to be performed within the product code base to fund specific enhancements into an AASHTO product,

      (1) The product Task Force determines whether or not to incorporate the work plan task(s) into the current or next fiscal year MSE work plan.
(2) The product Task Force advises the requesting agency of the action taken; or communicates via e-mail to the requesting agency what modifications are necessary to obtain approval.

(3) Agency(ies) committing to support the enhancement effort provide the AASHTO Project Manager with ‘commitment’ letters authorizing the use of ‘x’ donated service units to support the work effort.

(4) If necessary, and upon approval, the contractor forwards the request for a contract modification to the product Task Force Chair and the AASHTO Project Manager.

6) AASHTO Project Manager Processing
   a) If the work plan is for agency-specific work,
      i) The AASHTO Project Manager signs the notice-to-proceed (NTP) which outlines the number of service units to be used and includes a brief description of the work to be performed
      ii) The AASHTO Project Manager scans and emails the NTP to the contractor, the agency contact person and the agency end user designee, if different.
      iii) The AASHTO Project Manager maintains a copy of the signed NTP with the service unit work plan / proposal.
      iv) The AASHTO Project Manager instructs the contractor and requesting agency to obligate the number of service units needed on the service unit report. Service units for agency-specific work are ‘encumbered’ to ensure the service units are not later re-obligated for future work.
   b) If the work plan is for work to be performed within the product code base to fund specific enhancements into an AASHTO product,
      i) The AASHTO Project Manager prepares the contract modification package for Special Committee on Joint Development review and approval to transfer the donated service units to the enhancement services portion of the MSE Agreement between AASHTO and the software development contractor.
      ii) The AASHTO Project Manager administers the execution of the contract modification.
      iii) Assuming approval of the contract modification, the product Task Force directs the contractor to proceed with the enhancement task, and oversees the development.
      iv) The AASHTO Project Manager instructs the contractor and the requesting agency to obligate the number of service units needed on the service unit report. Service unit funding is moved to the appropriate product contract budget portion.
7) **Contractor Work Performed**

a) If the work plan is for agency-specific work,

i) The contractor proceeds with the work detailed in the work plan.

ii) The requesting agency reviews the enhancement work as it proceeds.

iii) The contractor submits monthly invoices for work based on completion of the milestones identified in the work plan to the AASHTO Project Manager until the task is completed. (Agency approval documentation may be submitted as an attachment to the monthly invoices.) The contractor sends copies of the invoices to the requesting agency representative and the product Task Force Chair.

iv) Concurrent with the submission of the monthly invoices, the contractor delivers a monthly consolidated Service Unit status report to the product Task Force Chair and AASHTO Project Manager. At a minimum, the contractor delivers Service Unit status reports to product End User Designees on a quarterly basis (March, June, September, and December) for all agencies with active Service Unit work efforts and on an annual basis (June) for all agencies with Service Unit non-zero balances that are inactive.

v) The requesting agency representative monitors their agency Service Unit reports to ensure they are in agreement with activities and payments associated with their Service Unit ‘accounts’.
b) If the work plan involves enhancements or other work to be incorporated or performed within a product’s code base,
   i) The contractor proceeds with the work affecting the product’s code base only under Task Force direction.
   ii) The contractor submits invoices for enhancement work based on completion of the milestones identified in the work plan to the product Task Force Chair and the AASHTO Project Manager until the task is completed.
   iii) The requesting / funding agency participates in the review of the enhancement work as it proceeds, and as associated enhancement deliverables are available for review by the task force and the agency.
   iv) The requesting agency may propose changes to the tasks, with the approval of the product Task Force. (If a proposed change increases the scope of the Task, the cost will be reexamined, and modifications to the work plan and contract will be executed if and / as necessary.)
   v) The requesting agency beta tests the enhancement(s) prior to its release as a formal release of the product to other licensing agencies. The requesting agency may also choose to waive agency beta testing and request beta testing by the TAG.

8) Product Task Force Review
   a) If the work plan is for agency-specific work,
      i) In concert with the review and approval of the monthly development contract invoices, the Task Force Chair reviews and approves the Service Unit invoices for payment. In the absence of information conveyed by the requesting agency to hold payment for service unit work documented for payment in the agency’s service unit report, the Task Force Chair will approve the invoice for payment.
   b) If the work plan involves enhancements or other work to be incorporated or performed within a product’s code base,
      i) The product Task Force ensures that all user/system requirements are met by the contractor.
      ii) The product Task Force reviews the contractor-supplied requirements traceability matrix.

9) Payment
   a) The AASHTO Project Manager processes approved invoices for payment.