

## Attachment 2 Technical Requirements Traceability Matrix (TRTM)

### Request for Proposal Number 5136 Z1

Bidders are instructed to complete a Technical Requirements Traceability Matrix for the Long Term Care Pharmacy Management Software Solution. Bidders are required to describe in detail how their proposed solution meets the conformance specification outlined within each Technical Requirement.

The TRTM is used to document and track the project requirements from the proposal through testing to verify that the requirement has been completely fulfilled. The contractor will be responsible for maintaining the contract set of Baseline Requirements. The TRTM will form one of the key artifacts required for testing and validation that each requirement has been complied with (i.e., 100% fulfilled).

The TRTM must indicate how the bidder intends to comply with the requirement and the effort required to achieve that compliance. It is not sufficient for the bidder to simply state that it intends to meet the requirements of the RFP. DHHS will consider any such response to the requirements in this RFP to be non-responsive. The narrative should provide DHHS with sufficient information to differentiate the bidder's technical solution from other bidders' solutions.

The bidder must ensure that the original requirement identifier and requirement description are maintained in the TRTM as provided by DHHS. Failure to maintain these elements may be grounds for disqualification.

How to complete the TRTM:

| TRTM Column Description | Bidder Responsibility  |
|-------------------------|--|
| TRTM #                  | The unique identifier for the requirement as assigned by DHHS. This column is dictated by this RFP and must not be modified by the bidder.   |
| Requirement Description | The statement of the requirement to which the bidder must respond. This column is dictated by the RFP and must not be modified by the bidder.  |
| Compliant               | <p>Bidder to indicate "Y" (Yes) or "N" (No) whether their solution is compliant with the requirement. If "N", the bidder must address the gap in Response section. The bidder must also address the following:</p> <ul style="list-style-type: none"> <li>• Capability does not currently exist in the proposed Pharmacy Health Record System as indicated by an Availability of "B", "C", or "D" as defined below</li> <li>• Capability not available, is not planned, or requires extensive source-code design and customization to be considered part of the bidder's standard capability as indicated by Availability of "N/A"</li> <li>• Requires an extensive integration effort of more than 500 hours</li> </ul> |
| Availability            | <p>Bidder to indicate one of the following:</p> <ul style="list-style-type: none"> <li>• A = Capability Operating in Bidder's Solution</li> <li>• B = Capability Available in the Bidder's Solution Next Scheduled Release and proposed for the Solution.</li> <li>• C = Capability Under Development: New Release / Upgrade Version (Resources Committed) Provide Availability Date Published to Bidder's Solution</li> </ul>   |

| TRTM Column Description     | Bidder Responsibility   |
|-----------------------------|---|
|                             | <ul style="list-style-type: none"> <li>• D = Capability Defined and Committed to Availability in 12 Months in the Bidder's Solution</li> <li>• N/A = Not Available, Not Planned, or Requires Extensive Effort to be Made Part of Baseline Capability</li> </ul>   |
| Availability Date           | Provide date capability will be available as published / release to Bidder Baseline Capability (e.g., available to Installed Customer Base). Note: For Availability value of "A", use date of proposal submission.  |
| Contractor or Subcontractor | Indicate whether the hardware, software or service is provided by the Contractor (C) or Subcontractor (S).  |
| Bidder Comments             | <p>Bidder Responsibility</p> <p>Provide a short description for each requirement that is Compliant = "Y":</p> <ol style="list-style-type: none"> <li>1. Describe briefly how compliance will be established, highlighting the following: <ol style="list-style-type: none"> <li>a. Is compliance established through rules-based modifications to the product/system (e.g., table changes, workflow updates)?</li> <li>b. Is compliance established through a combination of system automation and manual processes/procedures?</li> </ol> </li> <li>2. Provide an estimate of the effort needed during integration to achieve compliance using the final criteria: <ol style="list-style-type: none"> <li>a. Minor = less than 10 man hours.</li> <li>b. Moderate = less than 100 man hours.</li> <li>c. Extensive = more than 100, less than 500 man hours.</li> <li>d. Significant = more than 500 man hours.</li> </ol> </li> </ol> <p>A restatement of the requirement is not considered a substantive response.</p> |

| TRTM #                      | Requirement Description   | Compliant | Availability | Availability Date | Contractor or Subcontractor |
|-----------------------------|---|-----------|--------------|-------------------|-----------------------------|
| <b>a) General Technical</b> |   |           |              |                   |                             |
| 1.                          | The solution shall use an industry standard commercial Relational Database Management System (RDBMS), Application Server and Web Server infrastructure.   |           |              |                   |                             |
| Bidder Comments:            |   |           |              |                   |                             |
| 2.                          | The solution shall support deployment on virtualized servers to support scalability and flexibility.  |           |              |                   |                             |
| Bidder Comments:            |   |           |              |                   |                             |
| 3.                          | The solution shall support multiple environments for use by Nebraska, including development, test, training, and production. (sandbox, break-fix)   |           |              |                   |                             |
| Bidder Comments:            |   |           |              |                   |                             |
| 4.                          | The solution shall provide the ability to terminate, reverse or back-out a software update in the event it is discovered the update is erroneous or corrupted. The solution shall provide the ability to restore the data to the state prior to the update. |           |              |                   |                             |
| Bidder Comments:            |   |           |              |                   |                             |
| 5.                          | The solution shall be deployable to servers running one of the following operating systems:<br>- Linux<br>- Unix<br>- Windows   |           |              |                   |                             |
| Bidder Comments:            |   |           |              |                   |                             |
| 6.                          | The solution shall be designed such that routine upgrades and maintenance do not require system reconfiguration.  |           |              |                   |                             |

| TRTM #           | Requirement Description   | Compliant | Availability | Availability Date | Contractor or Subcontractor |
|------------------|---|-----------|--------------|-------------------|-----------------------------|
| Bidder Comments: |   |           |              |                   |                             |
| 7.               | The solution shall conduct data exchanges between components in real-time so that data is always synchronous across the entire solution, including any third party components.  |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |
| 8.               | Provide a comprehensive set of edits at the point of data entry to minimize data errors and provide immediate feedback in order for incorrect data to be corrected before further processing (e.g., spell check).   |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |
| 9.               | The solution must integrate with Microsoft Office.  |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |
| 10.              | All infrastructure software used by the solution (operating system, databases, web servers, network management, etc.) shall be a version that is currently supported under standard maintenance agreements and is generally available during the life of the contract |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |
| 11.              | The solution shall maintain a historical record of all changes made to any item within the system, the ID of the person or process that made the change, and the date and time the change was made.   |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |
| 12.              | The solution shall, operate with Windows based operating software on tablets.   |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |

| TRTM #           | Requirement Description  | Compliant | Availability | Availability Date | Contractor or Subcontractor |
|------------------|--|-----------|--------------|-------------------|-----------------------------|
| 13.              | The solution shall incorporate secure telecommunications capabilities that link staff and clinicians from remote locations to their central site with audio and video capabilities.  |           |              |                   |                             |
| Bidder Comments: |  |           |              |                   |                             |
| 14.              | The solution shall be built upon an infrastructure that is easily upgradable through patches and point releases, including the upgrading of the solution software and all prerequisite infrastructure software and the application of data migration or update scripts   |           |              |                   |                             |
| Bidder Comments: |  |           |              |                   |                             |
| 15.              | The solution should assure that third party software, used for ancillary aspects of the solution, that require distribution or maintenance to desktops or servers can be distributed and configured on user work stations from a central location and not require onsite intervention. In other words, software should support "silent" or unattended installation functionality for any non-web based features. |           |              |                   |                             |
| Bidder Comments: |  |           |              |                   |                             |
| 16.              | The solution shall be deployed primarily as a web-based interface, so that users only need a web browser to access the solution. Currently Nebraska uses IE-11   |           |              |                   |                             |
| Bidder Comments: |  |           |              |                   |                             |
| 17.              | The solution should maintain an archival process so that accumulated historical records and log files do not consume large amounts of disk space.  |           |              |                   |                             |
| Bidder Comments: |  |           |              |                   |                             |
| 18.              | The solution should provide an auto archive/purge of the log files to prevent uncontrolled growth of the log and historical records storage using administrator-set parameters.  |           |              |                   |                             |

| TRTM #              | Requirement Description  | Compliant | Availability | Availability Date | Contractor or Subcontractor |
|---------------------|--|-----------|--------------|-------------------|-----------------------------|
| Bidder Comments:    |  |           |              |                   |                             |
| 19.                 | The solution shall provide admin tools and maintenance routines to change access rights quickly.   |           |              |                   |                             |
| Bidder Comments:    |  |           |              |                   |                             |
| 20.                 | The solution shall allow for accessibility and portability of application via web enabled architecture   |           |              |                   |                             |
| Bidder Comments:    |  |           |              |                   |                             |
| <b>b) Standards</b> |  |           |              |                   |                             |
| 21.                 | The solution shall ensure that web-based system applications are accessible through commonly used browsers in current versions (e.g., Internet Explorer 11).   |           |              |                   |                             |
| Bidder Comments:    |  |           |              |                   |                             |
| 22.                 | The solution shall comply with accessibility requirements described in 45 CFR 85 and with State of Nebraska accessibility requirements located at <a href="http://www.nitc.state.ne.us/standards/accessibility/">http://www.nitc.state.ne.us/standards/accessibility/</a>  |           |              |                   |                             |
| Bidder Comments:    |  |           |              |                   |                             |
| 23.                 | The solution shall comply with digital signature requirements described in the Nebraska Digital Signatures Act. Refer to <a href="http://www.sos.state.ne.us/rules-and-regs/regsearch/Rules/Secretary_of_State/Title-437.pdf">http://www.sos.state.ne.us/rules-and-regs/regsearch/Rules/Secretary_of_State/Title-437.pdf</a> for definition and standards. |           |              |                   |                             |
| Bidder Comments:    |  |           |              |                   |                             |

| TRTM #                   | Requirement Description  | Compliant | Availability | Availability Date | Contractor or Subcontractor |
|--------------------------|--|-----------|--------------|-------------------|-----------------------------|
| 24.                      | The solution shall be scalable and flexible enough to accommodate any changes required by Nebraska and/or federal statute, mandate, decision or policy.  |           |              |                   |                             |
| Bidder Comments:         |  |           |              |                   |                             |
| 25.                      | The solution shall conform to the sub-parts of Section 508 of the Americans with Disabilities Act (ADA), and any other appropriate Nebraska or federal disability legislation.   |           |              |                   |                             |
| Bidder Comments:         |  |           |              |                   |                             |
| 26.                      | The solution should alert providers to potential administration errors, such as wrong client, wrong drug, wrong dose, wrong route, and wrong time in support of medication administration or pharmacy dispense/supply management and workflow. |           |              |                   |                             |
| Bidder Comments:         |  |           |              |                   |                             |
| <b>c) Error Handling</b> |  |           |              |                   |                             |
| 27.                      | The solution shall write and categorize all errors to an error log.  |           |              |                   |                             |
| Bidder Comments:         |  |           |              |                   |                             |
| 28.                      | The solution shall allow for user-defined alerts of errors, including those to external communication mechanisms (e.g., e-mail and text messaging).  |           |              |                   |                             |
| Bidder Comments:         |  |           |              |                   |                             |
| 29.                      | The solution shall include a comprehensive error message manual with unique message identifiers.   |           |              |                   |                             |
| Bidder Comments:         |  |           |              |                   |                             |
| 30.                      | The solution shall capture system down times along with the causes of the downtimes where applicable   |           |              |                   |                             |

| TRTM #                             | Requirement Description  | Compliant | Availability | Availability Date | Contractor or Subcontractor |
|------------------------------------|--|-----------|--------------|-------------------|-----------------------------|
| Bidder Comments:                   |  |           |              |                   |                             |
| <b>d) Database/Data Management</b> |  |           |              |                   |                             |
| 31.                                | The solution shall facilitate data structure changes to accommodate expanding scope, new services, changing requirements and legislative mandates without requiring major software rewrites  |           |              |                   |                             |
| Bidder Comments:                   |  |           |              |                   |                             |
| 32.                                | The solution shall provide the flexibility to extract and load data into standard PC-based software formats on-line without the need for programming expertise.  |           |              |                   |                             |
| Bidder Comments:                   |  |           |              |                   |                             |
| 33.                                | The solution shall maintain an automated history (audit trail) of all update transactions, including, but not limited to: date and time of change, "before" and "after" data field contents, and operator identifier or source of the update.  |           |              |                   |                             |
| Bidder Comments:                   |  |           |              |                   |                             |
| 34.                                | The solution should support triggers, stored procedures, alerts, user-defined functions and data types, and system-defined functions and data types.   |           |              |                   |                             |
| Bidder Comments:                   |  |           |              |                   |                             |
| 35.                                | The solution should allow the administrative user to add fields to the database for required demographic or other data for all samples logged into the system. These fields must be able to be added at any time during or after implementation. Addition of these database fields must not void the warranty nor require Contractor intervention/review at a later date to perform upgrades and retain these additional fields. |           |              |                   |                             |

| TRTM #                                  | Requirement Description   | Compliant | Availability | Availability Date | Contractor or Subcontractor |
|---|---|-----------|--------------|-------------------|-----------------------------|
| Bidder Comments:                        |   |           |              |                   |                             |
| 36.                                     | The solution should conform to the Open Database Connectivity Standard (ODBC).  |           |              |                   |                             |
| Bidder Comments:                        |   |           |              |                   |                             |
| <b>e) System and User Documentation</b> |   |           |              |                   |                             |
| 37.                                     | The contractor shall provide an entity-relationship model, class diagram and a table of contents with data dictionary for report creation by Nebraska that is regularly updated and includes table, field, and relationships.   |           |              |                   |                             |
| Bidder Comments:                        |   |           |              |                   |                             |
| 38.                                     | The solution should provide on-line help for all features, functions, and data element fields, as well as descriptions and resolutions for error messages, using help features including indexing, searching, tool tips, and context-sensitive help topics. The on-line documentation will include descriptions, definitions, and layouts for each standard report. All selection criteria parameters and each report item/data element must be defined and all field calculations must be defined in detail. |           |              |                   |                             |
| Bidder Comments:                        |   |           |              |                   |                             |
| 39.                                     | The contractor should ensure that the User Manual remains accessible to users on-line, with a printable version available. The documentation will include full mock-ups of all screens/windows and provide narrative descriptions of the navigation features for each screen/window.  |           |              |                   |                             |
| Bidder Comments:                        |   |           |              |                   |                             |
| 40.                                     | The contractor shall provide DHHS a comprehensive system operation manual, at the time of installation.   |           |              |                   |                             |

| TRTM #                               | Requirement Description   | Compliant | Availability | Availability Date | Contractor or Subcontractor |
|--------------------------------------|---|-----------|--------------|-------------------|-----------------------------|
| Bidder Comments:                     |   |           |              |                   |                             |
| 41.                                  | The contractor shall develop, use and provide training material to DHHS for initial and ongoing training. The content of these materials will be consistent with the User Manual, any Operating Procedures and Help text. |           |              |                   |                             |
| Bidder Comments:                     |   |           |              |                   |                             |
| <b>f) Interfaces/Imports/Exports</b> |   |           |              |                   |                             |
| 42.                                  | The solution should be able to schedule interface jobs to other systems   |           |              |                   |                             |
| Bidder Comments:                     |   |           |              |                   |                             |
| 43.                                  | The solution's interfaces shall secure and protect the data and the associated infrastructure from a confidentiality, integrity and availability perspective.   |           |              |                   |                             |
| Bidder Comments:                     |   |           |              |                   |                             |
| 44.                                  | The solution shall have the capability to notify System Administrators/system support staff if an interface is not available for any reason.  |           |              |                   |                             |
| Bidder Comments:                     |   |           |              |                   |                             |
| 45.                                  | The contractor shall provide necessary APIs to allow DHHS to create interfaces to and from the DHHS solution.   |           |              |                   |                             |
| Bidder Comments:                     |   |           |              |                   |                             |
| 46.                                  | The solution shall leverage an electronic document management system that is integrated to support the storage and retrieval of document images.  |           |              |                   |                             |
| Bidder Comments:                     |   |           |              |                   |                             |
| 47.                                  | The solution shall provide the ability to route imaged correspondence to any work queue.  |           |              |                   |                             |

| TRTM #                       | Requirement Description   | Compliant | Availability | Availability Date | Contractor or Subcontractor |
|------------------------------|---|-----------|--------------|-------------------|-----------------------------|
| Bidder Comments:             |   |           |              |                   |                             |
| 48.                          | The solution should provide the ability to import data in multiple formats (e.g. csv, ASCII)  |           |              |                   |                             |
| Bidder Comments:             |   |           |              |                   |                             |
| 49.                          | The solution shall send and receive data via HL7 and ODBC connections, including an interface with NeHII.   |           |              |                   |                             |
| Bidder Comments:             |   |           |              |                   |                             |
| 50.                          | The solution shall have the ability to use standards based communication protocols; such as TCP/IP, HTTP/S and SMTP.  |           |              |                   |                             |
| Bidder Comments:             |   |           |              |                   |                             |
| <b>g) System Performance</b> |   |           |              |                   |                             |
| 51.                          | Support concurrent users with minimal impact to response time, with the ability to increase the demand on the system by 50% without modification to the software or degradation in performance. |           |              |                   |                             |
| Bidder Comments:             |   |           |              |                   |                             |
| 52.                          | The solution shall use fully redundant network and hardware components  |           |              |                   |                             |
| Bidder Comments:             |   |           |              |                   |                             |
| 53.                          | The solution shall be available, online 24 hours a day and 7 days a week, 99.9% of the time each month. Planned, approved downtime for maintenance will be excluded from this requirement.      |           |              |                   |                             |
| Bidder Comments:             |   |           |              |                   |                             |
| 54.                          | The solution shall provide application performance monitoring and management capabilities   |           |              |                   |                             |

| TRTM #           | Requirement Description  | Compliant | Availability | Availability Date | Contractor or Subcontractor |
|------------------|--|-----------|--------------|-------------------|-----------------------------|
| Bidder Comments: |  |           |              |                   |                             |
| 55.              | <p>The solution should meet the following minimum response times even at peak load. Times will be measured for adherence to the requirements at the State's discretion.</p> <ul style="list-style-type: none"> <li>Record Search Time – The response time must be within four (4) seconds 95% of the time and under ten (10) seconds for 100% of the time for record searches.</li> <li>Record Retrieval Time – The response time must be within four (4) seconds 95% of the time and under ten (10) seconds 100% of the time for record retrievals.</li> <li>Transaction Response Time – The response time must be within two (2) seconds 95% of the time and under ten (10) seconds for 100% of the time for screen response.</li> <li>Print Initiation Time – The response time must be within two (2) seconds 95% of the time and under ten (10) seconds 100% of the time-for-print initiations.</li> <li>Subsequent Page Display Response Time - The movement from viewing one page to viewing the next page within the same document shall not take more than one (1) second 95% of the time and under five (5) seconds for 100% of the time for screen response.</li> <li>Document Availability - 99.5% of all documents must be available within on average five (5) seconds after imaged.</li> </ul> <p>Note: These response times do not include network latency, which will be measured and reported by DHHS.</p> |           |              |                   |                             |
| Bidder Comments: |  |           |              |                   |                             |

| TRTM #                   | Requirement Description  | Compliant | Availability | Availability Date | Contractor or Subcontractor |
|--------------------------|--|-----------|--------------|-------------------|-----------------------------|
| <b>h) Security/Audit</b> |  |           |              |                   |                             |
| 56.                      | The solution must provide role-based security using unique identifiers (IDs), mandatory password standards, and profile or group access assignments. All users must be authenticated when establishing a connection to the solution. Authentication must be based on unique user IDs and must support separation of duties based on roles.   |           |              |                   |                             |
| Bidder Comments:         |  |           |              |                   |                             |
| 57.                      | The solution shall support protection of confidentiality of all PHI delivered over the Internet or other known open networks via encryption using triple-DES (3DES) or the Advanced Encryption Standard (AES) and an open protocol such as Transport Layer Security (TLS), Secure Sockets Layer (SSL), Internet Protocol Security (IPsec), XML encryptions, or Secure/Multipurpose Internet Mail Extensions(S/MIME) or their successors. Contractor must describe in detail the encryption methodology used. |           |              |                   |                             |
| Bidder Comments:         |  |           |              |                   |                             |
| 58.                      | All wireless access must be made through a secure channel that meets state and agency security requirements and all devices must be approved by DHHS prior to use. For example, the agency currently approves a secure connection via Citrix software.   |           |              |                   |                             |
| Bidder Comments:         |  |           |              |                   |                             |
| 59.                      | The solution shall use role-based security for access to system features, function, screens, and data access.  |           |              |                   |                             |
| Bidder Comments:         |  |           |              |                   |                             |

| TRTM #           | Requirement Description   | Compliant | Availability | Availability Date | Contractor or Subcontractor |
|------------------|---|-----------|--------------|-------------------|-----------------------------|
| 60.              | The solution should support encryption of data at rest for all stored PHI or an equivalent alternative protection mechanism. Contractor must describe in detail compensating controls if data is not encrypted at rest. |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |
| 61.              | The solution shall conduct real-time backups in order to comply with HITECH requirements. Backups must be executed without disruption to system performance and without need for user intervention.                     |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |
| 62.              | The solution shall provide the ability for concurrent users to simultaneously view the same record, documentation and or template and maintain data integrity.  |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |
| 63.              | The solution shall adhere to the principle of "Fail Safe" to ensure that a system in a failed state does not reveal any sensitive information or leave any access controls open for attacks.                            |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |
| 64.              | The solution must have a unique identifier which is not the client/residents SSN.   |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |
| 65.              | The solution shall comply with Federal, State, and division-specific security requirements including but not limited to:  |           |              |                   |                             |
|                  | <ul style="list-style-type: none"> <li>Health Insurance Portability and Accountability Act (HIPAA) of 1996</li> </ul>   |           |              |                   |                             |
|                  | <ul style="list-style-type: none"> <li>Health Information Technology for Economic and Clinical Health Act (HITECH) of 2009</li> </ul>   |           |              |                   |                             |

| TRTM #           | Requirement Description   | Compliant | Availability | Availability Date | Contractor or Subcontractor |
|------------------|---|-----------|--------------|-------------------|-----------------------------|
|                  | <ul style="list-style-type: none"> <li>Nebraska Electronic Signature Statute <a href="http://www.legislature.ne.gov/laws/statutes.php?statute=86-611">http://www.legislature.ne.gov/laws/statutes.php?statute=86-611</a></li> <li>Privacy Act of 1974</li> <li>45 CFR 85 Security standards for PHI</li> </ul>  |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |
| 66.              | The solution upon detection of inactivity of an interactive session shall prevent further viewing and access to the solution by that session by terminating the session, or by initiating a session lock that remains in effect until the user reestablishes access using appropriate identification and authentication procedures. The inactivity timeout shall be configurable. |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |
| 67.              | The solution, prior to access to any PHI, shall display a configurable warning or login banner (e.g. "The solution should only be accessed by authorized users"). In the event that an solution does not support pre-login capabilities, the solution shall display the banner immediately following authorization.   |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |
| 68.              | The solution shall contain verification mechanisms that are capable of authenticating authority for the use or disclosure requested   |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |
| 69.              | The solution shall alert staff authorities identified by DHHS of potential violations of privacy safeguards   |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |
| 70.              | The solution must detect and prevent hacking, intrusion, and other unauthorized use of system resources.  |           |              |                   |                             |

| TRTM #           | Requirement Description   | Compliant | Availability | Availability Date | Contractor or Subcontractor |
|------------------|---|-----------|--------------|-------------------|-----------------------------|
| Bidder Comments: |   |           |              |                   |                             |
| 71.              | The solution must provide procedures for guarding, monitoring and detecting malicious software, update virus blocking daily to aggressively monitor and protect against viruses   |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |
| 72.              | The solution must update virus blocking software daily and aggressively monitor for and protect against viruses.  |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |
| 73.              | When acces to a users's account is restricted, the solution shall provide a means for appropriately authorized users to obtain access for emergency situations defined by DHHS  |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |
| 74.              | The solution must audit/track all activity specific to each user and process, including at a minimum date and time of last login, invalid login attempts, system errors, and all transaction activities, including inquiry. |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |
| 75.              | The solution must monitor system activity and log and examine system activity in accordance with audit policies and procedures adopted by DHHS.   |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |
| 76.              | The solution must preserve and report specified audit data designated by DHHS when potential security violations or data compromises are detected.  |           |              |                   |                             |
| Bidder Comments: |   |           |              |                   |                             |

| TRTM #           | Requirement Description  | Compliant | Availability | Availability Date | Contractor or Subcontractor |
|------------------|--|-----------|--------------|-------------------|-----------------------------|
| 77.              | The solution should recognize confidential and highly sensitive information in reports and views (i.e. PHI and SSN). Restrict distribution and access based upon system security settings and roles. Include warnings on printed and viewed reports.   |           |              |                   |                             |
| Bidder Comments: |  |           |              |                   |                             |
| 78.              | The solution should provide a process for archiving and/or destroying data and sanitizing storage media in conformance with DHHS and Division data governance policies and subject to applicable HIPAA, and federal (e.g., Federal Information Processing Standards (FIPS), National Institutes of Standards and Technology (NIST), and State laws |           |              |                   |                             |
| Bidder Comments: |  |           |              |                   |                             |
| 79.              | The solution shall enforce password policies for length, character requirements, forced reset intervals, and updates and enforce strong password rules per NITC and IRS requirements.  |           |              |                   |                             |
| Bidder Comments: |  |           |              |                   |                             |
| 80.              | The solution shall support the use of Multi-factor authentication  |           |              |                   |                             |
| Bidder Comments: |  |           |              |                   |                             |
| 81.              | The solution must prevent the creation of duplicate user accounts.   |           |              |                   |                             |
| Bidder Comments: |  |           |              |                   |                             |
| 82.              | The solution must provide the capability to identify and report on inappropriate access to information in the system, based on user defined criteria.  |           |              |                   |                             |
| Bidder Comments: |  |           |              |                   |                             |
| 83.              | The solution must provide the capability to monitor events on the information system, detect attacks, and provide identification of unauthorized use of the system.  |           |              |                   |                             |

| TRTM #           | Requirement Description  | Compliant | Availability | Availability Date | Contractor or Subcontractor |
|------------------|--|-----------|--------------|-------------------|-----------------------------|
| Bidder Comments: |  |           |              |                   |                             |
| 84.              | Have defined and deployed strong controls (including access and query rights) to prevent any data misuse, such as fraud, marketing or other purposes   |           |              |                   |                             |
| Bidder Comments: |  |           |              |                   |                             |
| 85.              | <p>The solution shall maintain a record (e.g. audit trail) of all additions, changes and deletions made to data in the system. This should be readily searchable by user ID or client ID. This must include but is not limited to:</p> <ul style="list-style-type: none"> <li>• The user ID of the person who made the change</li> <li>• The date and time of the change</li> <li>• The physical, software/hardware and/or network location of the person while making the change</li> <li>• The information that was changed</li> <li>• The outcome of the event</li> <li>• The data before and after it was changed, and which screens were accessed and used</li> </ul> |           |              |                   |                             |
| Bidder Comments: |  |           |              |                   |                             |
| 86.              | The solution shall support logging to a common audit engine using the schema and transports specified by DHHS. The solution shall be able to export logs into text format in such a manner as to allow correlation based on time (e.g. Coordinated Universal Time [UTC] synchronization).  |           |              |                   |                             |
| Bidder Comments: |  |           |              |                   |                             |
| 87.              | The solution shall support removal of a users privelages without deleting the user from the solution to ensure history of user's identity and actions.   |           |              |                   |                             |
| Bidder Comments: |  |           |              |                   |                             |

| TRTM #           | Requirement Description  | Compliant | Availability | Availability Date | Contractor or Subcontractor |
|------------------|--|-----------|--------------|-------------------|-----------------------------|
| 88.              | The solution shall comply with the Office of the National Coordinator's Nationwide Privacy and Security Framework for Electronic Exchange of Individually Identifiable Health Information. |           |              |                   |                             |
| Bidder Comments: |  |           |              |                   |                             |
| 89.              | The solution shall provide the ability to maintain a directory of all personnel who currently use or access the system.  |           |              |                   |                             |
| Bidder Comments: |  |           |              |                   |                             |
| 90.              | The solution shall be configurable to prevent corruption or loss of data already entered into the solution in the event of failure.  |           |              |                   |                             |
| Bidder Comments: |  |           |              |                   |                             |

