

**State of Nebraska (State Purchasing Bureau)
Independent Verification and Validation
(IV&V) Services**

RFP # 5252-Z1

Technical Proposal

Submission Date – May 18, 2016



SUBMITTED TO:

JENNIFER CROUSE/ROBERT THOMPSON

STATE PURCHASING BUREAU

1526 K STREET, SUITE 130

LINCOLN, NE 68508

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SUBMITTED BY:

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1.0 **REQUEST FOR PROPOSAL FORM**



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**State of Nebraska (State Purchasing Bureau)
REQUEST FOR PROPOSAL FOR CONTRACTUAL
SERVICES FORM**

RETURN TO:
State Purchasing Bureau
1526 K Street, Suite 130
Lincoln, Nebraska 68508
Phone: 402-471-6500
Fax: 402-471-2089

SOLICITATION NUMBER	RELEASE DATE
RFP 5252 Z1	March 29, 2016
OPENING DATE AND TIME	PROCUREMENT CONTACT
May 4, 2016 2:00 p.m. Central Time	Jennifer Crouse/Robert Thompson

This form is part of the specification package and must be signed in ink and returned, along with proposal documents, by the opening date and time specified.

PLEASE READ CAREFULLY!

SCOPE OF SERVICE

The State of Nebraska, Administrative Services (AS), Materiel Division, State Purchasing Bureau, is issuing this Request for Proposal, RFP Number 5252 Z1 for the purpose of selecting a qualified contractor to provide Independent Verification and Validation (IV&V) Services.

Written questions are due no later than April, 13, 2016, and should be submitted via e-mail to as.materielpurchasing@nebraska.gov
Written questions may also be sent by facsimile to (402) 471-2089.

A Pre-Proposal Conference Tele-Conference will be held on Tuesday, April 12, 2016 at the State Purchasing Bureau, 1526 K Street, Suite 130 Lincoln, NE 68508. See Schedule of Events for call in information.

Bidder should submit one (1) original of the entire proposal. Proposals must be submitted by the proposal due date and time.

PROPOSALS MUST MEET THE REQUIREMENTS OUTLINED IN THIS REQUEST FOR PROPOSAL TO BE CONSIDERED VALID. PROPOSALS WILL BE REJECTED IF NOT IN COMPLIANCE WITH THESE REQUIREMENTS.

1. Sealed proposals must be received in State Purchasing Bureau by the date and time of proposal opening per the schedule of events. No late proposals will be accepted. No electronic, e-mail, fax, voice, or telephone proposals will be accepted.
2. This form "REQUEST FOR PROPOSAL FOR CONTRACTUAL SERVICES" MUST be manually signed, in ink, and returned by the proposal opening date and time along with bidder's proposal and any other requirements as specified in the Request for Proposal in order for a bidder's proposal to be evaluated.
3. It is the responsibility of the bidder to check the website for all information relevant to this solicitation to include addenda and/or amendments issued prior to the opening date. Website address is as follows: <http://das.nebraska.gov/materiel/purchasing.html>

IMPORTANT NOTICE: Pursuant to Neb. Rev. Stat. § 84-602.02, all State contracts in effect as of January 1, 2014, and all contracts entered into thereafter, will be posted to a public website. Beginning July 1, 2014, all contracts will be posted to a public website managed by the Department of Administrative Services.

In addition, all responses to Requests for Proposals will be posted to the Department of Administrative Services public website. The public posting will include figures, illustrations, photographs, charts, or other supplementary material. Proprietary information identified and marked according to state law is exempt from posting. To exempt proprietary information you must submit a written showing that the release of the information would give an advantage to named business competitor(s) and show that the named business competitor(s) will gain a demonstrated advantage by disclosure of information. The mere assertion that information is proprietary is not sufficient. (Attorney General Opinion No. 92068, April 27, 1992) The agency will then determine if the interests served by nondisclosure outweigh any public purpose served by disclosure. Cost proposals will not be considered propriety.

To facilitate such public postings, the State of Nebraska reserves a royalty-free, nonexclusive, and irrevocable right to copy, reproduce, publish, post to a website, or otherwise use any contract or response to this RFP for any purpose, and to authorize others to use the documents. Any individual or entity awarded a contract, or who submits a response to this RFP, specifically waives any copyright or other protection the contract or response to the RFP may have; and, acknowledge that they have the ability and authority to enter into such waiver. This reservation and waiver is a prerequisite for submitting a response to this RFP and award of the contract. Failure to agree to the reservation and waiver of protection will result in the response to the RFP being non-conforming and rejected.

Any entity awarded a contract or submitting a RFP agrees not to sue, file a claim, or make a demand of any kind, and will indemnify, hold, and save harmless the State and its employees, volunteers, agents, and its elected and appointed officials from and against any and all claims, liens, demands, damages, liability, actions, causes of action, losses, judgments, costs, and expenses of every nature, including investigation costs and expenses, settlement costs, and attorney fees and expenses ("the claims"), sustained or asserted against the State, arising out of, resulting from, or attributable to the posting of contracts, RFPs and related documents.

BIDDER MUST COMPLETE THE FOLLOWING

By signing this Request for Proposal for Contractual Services form, the bidder guarantees compliance with the provisions stated in this Request for Proposal, agrees to the terms and conditions unless otherwise agreed to (see Section III) and certifies that bidder maintains a drug free work place environment.

Per Nebraska's Transparency in Government Procurement Act, Neb. Rev Stat § 73-603 DAS is required to collect statistical information regarding the number of contracts awarded to Nebraska Contractors. This information is for statistical purposes only and will not be considered for contract award purposes.

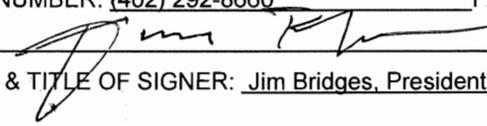
NEBRASKA CONTRACTOR AFFIDAVIT: Bidder hereby attests that bidder is a Nebraska Contractor. "Nebraska Contractor" shall mean any bidder who has maintained a bona fide place of business and at least one employee within this state for at least the six (6) months immediately preceding the posting date of this RFP.

I hereby certify that I am a **Resident disabled veteran or business located in a designated enterprise zone** in accordance with Neb. Rev. Stat. § 73-107 and wish to have preference, if applicable, considered in the award of this contract.

FIRM: Software Engineering Services

COMPLETE ADDRESS: 1311 Fort Crook Road, South, Suite 100 Bellevue, NE 68005

TELEPHONE NUMBER: (402) 292-8660 FAX NUMBER: (402) 292-3271

SIGNATURE:  DATE: 05/01/16

TYPED NAME & TITLE OF SIGNER: Jim Bridges, President and CEO

1.1 TERMS AND CONDITIONS (SECTION III)

1.1.1 A - GENERAL

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The contract resulting from this Request for Proposal shall incorporate the following documents:

1. Amendment to Contract Award with the most recent dated amendment having the highest priority;
2. Contract Award and any attached Addenda;
3. The Request for Proposal form and the Contractor's Proposal, signed in ink
4. Amendments to RFP and any Questions and Answers; and
5. The original RFP document and any Addenda.

These documents constitute the entirety of the contract.

Unless otherwise specifically stated in a contract amendment, in case of any conflict between the incorporated documents, the documents shall govern in the following order of preference with number one (1) receiving preference over all other documents and with each lower numbered document having preference over any higher numbered document: 1) Amendment to Contract Award with the most recent dated amendment having the highest priority, 2) Contract Award and any attached Addenda, 3) the signed Request for Proposal form and the Contractor's Proposal, 4) Amendments to RFP and any Questions and Answers, 5) the original RFP document and any Addenda.

Any ambiguity in any provision of this contract which shall be discovered after its execution shall be resolved in accordance with the rules of contract interpretation as established in the State of Nebraska.

Once proposals are opened they become the property of the State of Nebraska and will not be returned.

1.1.2 B - AWARD

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

All purchases, leases, or contracts which are based on competitive proposals will be awarded according to the provisions in the Request for Proposal. The State reserves the right to reject any or all proposals, in whole or in part, or to award to multiple bidders in whole or in part, and at its discretion, may withdraw or amend the Request for Proposal at any time. The State reserves the right to waive any deviations or errors that are not material, do not invalidate the legitimacy of the proposal, and do not improve the bidder's competitive position. All awards will be made in a manner deemed in the best interest of the State. The Request for Proposal does not commit the State to award a contract. If, in the opinion of the State, revisions or amendments will require substantive changes in proposals, the due date may be extended.

By submitting a proposal in response to this Request for Proposal, the bidder grants to the State the right to contact or arrange a visit in person with any or all of the bidder's clients.



Once intent to award decision has been determined, it will be posted to the Internet at:

<http://das.nebraska.gov/materiel/purchasing.html>

Grievance and protest procedure is available on the Internet at:

http://das.nebraska.gov/materiel/purchase_bureau/docs/vendors/protest/ProtestGrievanceProcedureForVendors.pdf

Any protests must be filed by a vendor within ten (10) business days after the intent to award decision is posted to the Internet.

1.1.3 C - COMPLIANCE WITH CIVIL RIGHTS LAWS AND EQUAL OPPORTUNITY EMPLOYMENT / NONDISCRIMINATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The Contractor shall comply with all applicable local, state, and federal statutes and regulations regarding civil rights laws and equal opportunity employment. The Nebraska Fair Employment Practice Act prohibits Contractors of the State of Nebraska, and their Subcontractors, from discriminating against any employee or applicant for employment, with respect to hire, tenure, terms, conditions, compensation, or privileges of employment because of race, color, religion, sex, disability, marital status, or national origin (Neb. Rev. Stat. §§ 48-1101 to 48-1125). The Contractor guarantees compliance with the Nebraska Fair Employment Practice Act, and breach of this provision shall be regarded as a material breach of contract. The Contractor shall insert a similar provision in all Subcontracts for services to be covered by any contract resulting from this Request for Proposal.

1.1.4 D - PERMITS, REGULATIONS, LAWS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The Contractor shall procure and pay for all permits, licenses, and approvals necessary for the execution of the contract. The Contractor shall comply with all applicable local, state, and federal laws, ordinances, rules, orders, and regulations.

1.1.5 E - OWNERSHIP OF INFORMATION AND DATA

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The State of Nebraska shall have the unlimited right to publish, duplicate, use, and disclose all information and data developed or derived by the Contractor pursuant to this contract.



The Contractor must guarantee that it has the full legal right to the materials, supplies, equipment, and other rights or titles (e.g. rights to licenses transfer or assign deliverables) necessary to execute this contract. The contract price shall, without exception, include compensation for all royalties and costs arising from patents, trademarks, and copyrights that are in any way involved in the contract. It shall be the responsibility of the Contractor to pay for all royalties and costs, and the State must be held harmless from any such claims.

1.1.6 F - INSURANCE REQUIREMENTS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The Contractor shall not commence work under this contract until all the insurance required hereunder has been obtained and such insurance has been approved by the State. The Contractor shall maintain all required insurance for the life of this contract and shall ensure that the State Purchasing Bureau has the most current certificate of insurance throughout the life of this contract. If Contractor will be utilizing any Subcontractors, the Contractor is responsible for obtaining the certificate(s) of insurance required herein under from any and all Subcontractor(s). The Contractor is also responsible for ensuring Subcontractor(s) maintain the insurance required until completion of the contract requirements. The Contractor shall not allow any Subcontractor to commence work on any Subcontract until all similar insurance required of the Subcontractor has been obtained and approved by the Contractor. Approval of the insurance by the State shall not limit, relieve, or decrease the liability of the Contractor hereunder.

If by the terms of any insurance a mandatory deductible is required, or if the Contractor elects to increase the mandatory deductible amount, the Contractor shall be responsible for payment of the amount of the deductible in the event of a paid claim.

Insurance coverages shall function independent of all other clauses in the contract, and in no instance shall the limits of recovery from the insurance be reduced below the limits required by this section.

1 - WORKERS' COMPENSATION INSURANCE

The Contractor shall take out and maintain during the life of this contract the statutory Workers' Compensation and Employer's Liability Insurance for all of the contactors' employees to be engaged in work on the project under this contract and, in case any such work is sublet, the Contractor shall require the Subcontractor similarly to provide Worker's Compensation and Employer's Liability Insurance for all of the Subcontractor's employees to be engaged in such work. This policy shall be written to meet the statutory requirements for the state in which the work is to be performed, including Occupational Disease. This policy shall include a waiver of subrogation in favor of the State. The amounts of such insurance shall not be less than the limits stated hereinafter.

2 - COMMERCIAL GENERAL LIABILITY INSURANCE AND COMMERCIAL AUTOMOBILE LIABILITY INSURANCE

The Contractor shall take out and maintain during the life of this contract such Commercial General Liability Insurance and Commercial Automobile Liability Insurance as shall protect Contractor and any Subcontractor performing work covered by this contract from claims for damages for bodily injury, including death, as well as from claims for property damage, which may arise from operations under this contract, whether such operation be by the Contractor or by any Subcontractor or by anyone directly or indirectly employed by either of them, and the amounts of such insurance shall not be less than limits stated hereinafter.



The Commercial General Liability Insurance shall be written on an occurrence basis, and provide Premises/Operations, Products/Completed Operations, Independent Contractors, Personal Injury, and Contractual Liability coverage. The policy shall include the State, and others as required by the contract documents, as Additional Insured(s). This policy shall be primary, and any insurance or self-insurance carried by the State shall be considered excess and non-contributory. The Commercial Automobile Liability Insurance shall be written to cover all Owned, Non-owned, and Hired vehicles.

3 - INSURANCE COVERAGE AMOUNTS REQUIRED

COMMERCIAL GENERAL LIABILITY	
General Aggregate	\$2,000,000
Products/Completed Operations Aggregate	\$2,000,000
Personal/Advertising Injury	\$1,000,000 per occurrence
Bodily Injury/Property Damage	\$1,000,000 per occurrence
Fire Damage	\$50,000 any one fire
Medical Payments	\$10,000 any one person
Damage to Rented Premises	\$300,000 each occurrence
Contractual	Included
XCU Liability (Explosion, Collapse, and Underground Damage)	Included
Independent Contractors	Included
Abuse & Molestation	Included
WORKER'S COMPENSATION	
Employers Liability Limits	\$500K/\$500K/\$500K
Statutory Limits- All States	Statutory - State of Nebraska
USL&H Endorsement	Statutory
Voluntary Compensation	Statutory
COMMERCIAL AUTOMOBILE LIABILITY	
Bodily Injury/Property Damage	\$1,000,000 combined single limit
Include All Owned, Hired & Non-Owned Automobile liability	Included
Motor Carrier Act Endorsement	Where Applicable
UMBRELLA/EXCESS LIABILITY	
Over Primary Insurance	\$5,000,000
SUBROGATION WAIVER	
"Workers' Compensation policy shall include a waiver of subrogation in favor of the State of Nebraska."	
LIABILITY WAIVER	
"Commercial General Liability & Commercial Automobile Liability policies shall be primary and any insurance or self-insurance carried by the State shall be considered excess and non-contributory."	

4 - EVIDENCE OF COVERAGE

The Contractor should furnish the State, with their proposal response, a certificate of insurance coverage complying with the above requirements to the attention of the Buyer at 402-471-2089 (fax)

Administrative Services
 State Purchasing Bureau
 1526 K Street, Suite 130
 Lincoln, NE 68508

These certificates or the cover sheet shall reference the RFP number, and the certificates shall include the name of the company, policy numbers, effective dates, dates of expiration, and amounts and types of coverage afforded. If the State is damaged by the failure of the Contractor to maintain such insurance, then the Contractor shall be responsible for all reasonable costs properly attributable thereto.

Notice of cancellation of any required insurance policy must be submitted to Administrative Services State Purchasing Bureau when issued and a new coverage binder shall be submitted immediately to ensure no break in coverage.

1.1.7 G - COOPERATION WITH OTHER CONTRACTORS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The State may already have in place or choose to award supplemental contracts for work related to this Request for Proposal, or any portion thereof.

1. The State reserves the right to award the contract jointly between two or more potential Contractors, if such an arrangement is in the best interest of the State.
2. The Contractor shall agree to cooperate with such other Contractors, and shall not commit or permit any act which may interfere with the performance of work by any other Contractor.

1.1.8 H - INDEPENDENT CONTRACTOR

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

It is agreed that nothing contained herein is intended or should be construed in any manner as creating or establishing the relationship of partners between the parties hereto. The Contractor represents that it has, or will secure at its own expense, all personnel required to perform the services under the contract. The Contractor's employees and other persons engaged in work or services required by the contractor under the contract shall have no contractual relationship with the State; they shall not be considered employees of the State.

All claims on behalf of any person arising out of employment or alleged employment (including without limit claims of discrimination against the Contractor, its officers, or its agents) shall in no way be the responsibility of the State. The Contractor will hold the State harmless from any and all such claims. Such personnel or other persons shall not require nor be entitled to any compensation, rights, or benefits from the State including without limit, tenure rights, medical and hospital care, sick and vacation leave, severance pay, or retirement benefits.

1.1.9 I - CONTRACTOR RESPONSIBILITY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The Contractor is solely responsible for fulfilling the contract, with responsibility for all services offered and products to be delivered as stated in the Request for Proposal, the Contractor's proposal, and the resulting contract. The Contractor shall be the sole point of contact regarding all contractual matters.

If the Contractor intends to utilize any Subcontractor's services, the Subcontractor's level of effort, tasks, and time allocation must be clearly defined in the Contractor's proposal. The Contractor shall agree that it will not utilize any Subcontractors not specifically included in its proposal in the performance of the contract without the prior written authorization of the State. Following execution of the contract, the Contractor shall proceed diligently with all services and shall perform such services with qualified personnel in accordance with the contract.

1.1.10 J - CONTRACTOR PERSONNEL

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The Contractor warrants that all persons assigned to the project shall be employees of the Contractor or specified Subcontractors, and shall be fully qualified to perform the work required herein. Personnel employed by the Contractor to fulfill the terms of the contract shall remain under the sole direction and control of the Contractor. The Contractor shall include a similar provision in any contract with any Subcontractor selected to perform work on the project.

Personnel commitments made in the Contractor's proposal shall not be changed without the prior written approval of the State. Replacement of key personnel, if approved by the State, shall be with personnel of equal or greater ability and qualifications.

The State reserves the right to require the Contractor to reassign or remove from the project any Contractor or Subcontractor employee.

In respect to its employees, the Contractor agrees to be responsible for the following:

1. any and all employment taxes and/or other payroll withholding;
2. any and all vehicles used by the Contractor's employees, including all insurance required by state law;
3. damages incurred by Contractor's employees within the scope of their duties under the contract;
4. maintaining workers' compensation and health insurance and submitting any reports on such
5. insurance to the extent required by governing State law; and
6. determining the hours to be worked and the duties to be performed by the Contractor's employees.

1.1.11 K - CONTRACT CONFLICTS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

Contractor shall insure that contracts or agreements with sub-contractors and agents, and the performance of services in relation to this contract by sub-contractors and agents, does not conflict with this contract.

1.1.12 L - STATE OF NEBRASKA PERSONNEL RECRUITMENT PROHIBITION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:



ES			
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The Contractor shall not, at any time, recruit or employ any State employee or agent who has worked on the Request for Proposal or project, or who had any influence on decisions affecting the Request for Proposal or project.

1.1.13 M - CONFLICT OF INTEREST

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

By submitting a proposal, bidder certifies that there does not now exist any relationship between the bidder and any person or entity which is or gives the appearance of a conflict of interest related to this Request for Proposal or project.

The bidder certifies that it shall not take any action or acquire any interest, either directly or indirectly, which will conflict in any manner or degree with the performance of its services hereunder or which creates an actual or appearance of conflict of interest.

The bidder certifies that it will not employ any individual known by bidder to have a conflict of interest.

Any contractor (and its subcontractors) serving in the role of independent validation and verification (IV&V) service contractor to the State is prohibited from soliciting, proposing, or being awarded any project management, quality assurance, software design, development, or other manner of planning, design, development, or implementation phase activity on the projects for which these IV&V services are being procured.

This exclusion likewise extends to any other project within the State that may interact with or otherwise provide services to the projects or to the State during the full term of this contract. This exclusion is executed in accordance with federal regulations at 45 CFR 95.626, which require that this IV&V effort, "... be conducted by an entity that is independent from the State".

IV&V is the set of verification and validation activities performed by an agency not under the control of the organization developing the software. IV&V services must be provided and managed by an organization that is technically and managerially independent of the subject software development project. This independence takes two mandatory forms.

First, technical independence requires that the IV&V services provider organization, its personnel, and subcontractors are not and have not been involved in the software development or implementation effort or in the project's initial planning and/or subsequent design. Technical independence helps ensure that IV&V review reports are free of personal or professional bias, posturing, or gold plating.

Second, managerial independence is required to make certain that the IV&V effort is provided by an organization that is departmentally and hierarchically separate from the software development and program management organizations. Managerial independence helps ensure that the IV&V service provider can deliver findings and recommendations to state and federal executive leadership and management without restriction, fear of retaliation, or coercion (e.g., reports being subject to prior review or approval from the development group before release to outside entities, such as the federal government).

1.1.14 N - PROPOSAL PREPARATION COSTS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The State shall not incur any liability for any costs incurred by bidders in replying to this Request for Proposal, in the demonstrations and/or oral presentations, or in any other activity related to bidding on this Request for Proposal.

1.1.15 O - ERRORS AND OMISSIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The bidder shall not take advantage of any errors and/or omissions in this Request for Proposal or resulting contract. The bidder must promptly notify the State of any errors and/or omissions that are discovered.

1.1.16 P - BEGINNING OF WORK

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The bidder shall not commence any billable work until a valid contract has been fully executed by the State and the successful Contractor. The Contractor will be notified in writing when work may begin.

1.1.17 Q - ASSIGNMENT BY THE STATE

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The State shall have the right to assign or transfer the contract or any of its interests herein to any agency, board, commission, or political subdivision of the State of Nebraska. There shall be no charge to the State for any assignment hereunder.

1.1.18 R - ASSIGNMENT BY THE CONTRACTOR

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The Contractor may not assign, voluntarily or involuntarily, the contract or any of its rights or obligations hereunder (including without limitation rights and duties of performance) to any third party, without the prior written consent of the State, which will not be unreasonably withheld.

1.1.19 S - DEVIATIONS FROM THE REQUEST FOR PROPOSAL

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The requirements contained in the Request for Proposal become a part of the terms and conditions of the contract resulting from this Request for Proposal. Any deviations from the Request for Proposal must be clearly defined by the bidder in its proposal and, if accepted by the State, will become part of the contract. Any specifically defined deviations must not be in conflict with the basic nature of the Request for Proposal, mandatory requirements, or applicable state or federal laws or statutes. "Deviation", for the purposes of this RFP, means any proposed changes or alterations to either the contractual language or deliverables within the scope of this RFP. The State discourages deviations and reserves the right to reject proposed deviations.

1.1.20 T - GOVERNING LAW

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The contract shall be governed in all respects by the laws and statutes of the State of Nebraska. Any legal proceedings against the State of Nebraska regarding this Request for Proposal or any resultant contract shall be brought in the State of Nebraska administrative or judicial forums as defined by State law. The Contractor must be in compliance with all Nebraska statutory and regulatory law.

1.1.21 U - ATTORNEY'S FEES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

In the event of any litigation, appeal, or other legal action to enforce any provision of the contract, the Contractor agrees to pay all expenses of such action, as permitted by law, including attorney's fees and costs, if the State is the prevailing party.

1.1.22 V - ADVERTISING

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The Contractor agrees not to refer to the contract award in advertising in such a manner as to state or imply that the company or its services are endorsed or preferred by the State. News releases pertaining to the project shall not be issued without prior written approval from the State.

1.1.23 W - STATE PROPERTY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The Contractor shall be responsible for the proper care and custody of any State-owned property which is furnished for the Contractor's use during the performance of the contract. The Contractor shall reimburse the State for any loss or damage of such property; normal wear and tear is expected.

1.1.24 X - SITE RULES AND REGULATIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The Contractor shall use its best efforts to ensure that its employees, agents, and Subcontractors comply with site rules and regulations while on State premises. If the Contractor must perform on-site work outside of the daily operational hours set forth by the State, it must make arrangements with the State to ensure access to the facility and the equipment has been arranged. No additional payment will be made by the State on the basis of lack of access, unless the State fails to provide access as agreed to between the State and the Contractor.

1.1.25 Y - NOTIFICATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			



During the bid process, all communication between the State and a bidder shall be between the bidder's representative clearly noted in its proposal and the buyer noted in Section II.A. Procuring Office and Contact Person, of this RFP. After the award of the contract, all notices under the contract shall be deemed duly given upon delivery to the staff designated as the point of contact for this Request for Proposal, in person, or upon delivery by U.S. Mail, facsimile, or e-mail. Each bidder should provide in its proposal the name, title, and complete address of its designee to receive notices.

1. Except as otherwise expressly specified herein, all notices, requests, or other communications shall be in writing and shall be deemed to have been given if delivered personally or mailed, by U.S. Mail, postage prepaid, return receipt requested, to the parties at their respective addresses set forth above, or at such other addresses as may be specified in writing by either of the parties. All notices, requests, or communications shall be deemed effective upon personal delivery or three (3) calendar days following deposit in the mail.
2. Whenever the Contractor encounters any difficulty which is delaying or threatens to delay its timely performance under the contract, the Contractor shall immediately give notice thereof in writing to the State reciting all relevant information with respect thereto. Such notice shall not in any way constitute a basis for an extension of the delivery schedule or be construed as a waiver by the State of any of its rights or remedies to which it is entitled by law or equity or pursuant to the provisions of the contract. Failure to give such notice, however, may be grounds for denial of any request for an extension of the delivery schedule because of such delay.

Either party may change its address for notification purposes by giving notice of the change, and setting forth the new address and an effective date.

For the duration of the contract, all communication between Contractor and the State regarding the contract shall take place between the Contractor and individuals specified by the State in writing. Communication about the contract between Contractor and individuals not designated as points of contact by the State is strictly forbidden.

1.1.26 Z - EARLY TERMINATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The contract may be terminated as follows:

1. The State and the Contractor, by mutual written agreement, may terminate the contract at any time.
2. The State, in its sole discretion, may terminate the contract for any reason upon thirty (30) calendar day's written notice to the Contractor. Such termination shall not relieve the Contractor of warranty or other service obligations incurred under the terms of the contract. In the event of termination the Contractor shall be entitled to payment, determined on a pro rata basis, for products or services satisfactorily performed or provided.
3. The State may terminate the contract immediately for the following reasons:
 - a. if directed to do so by statute;
 - b. Contractor has made an assignment for the benefit of creditors, has admitted in writing its inability to pay debts as they mature, or has ceased operating in the normal course of business;
 - c. a trustee or receiver of the Contractor or of any substantial part of the Contractor's

- d. assets has been appointed by a court; fraud, misappropriation, embezzlement, malfeasance, misfeasance, or illegal conduct pertaining to performance under the contract by its Contractor, its employees, officers, directors, or shareholders;
- e. an involuntary proceeding has been commenced by any party against the Contractor under any one of the chapters of Title 11 of the United States Code and (i) the proceeding has been pending for at least sixty (60) calendar days; or (ii) the Contractor has consented, either expressly or by operation of law, to the entry of an order for relief; or (iii) the Contractor has been decreed or adjudged a debtor;
- f. a voluntary petition has been filed by the Contractor under any of the chapters of Title 11 of the United States Code;
- g. Contractor intentionally discloses confidential information;
- h. Contractor has or announces it will discontinue support of the deliverable;
- i. second or subsequent documented "vendor performance report" form deemed acceptable by the State Purchasing Bureau; or
- j. Contractor engaged in collusion or actions which could have provided Contractor an unfair advantage in obtaining this contract.

1.1.27 AA - FUNDING OUT CLAUSE OR LOSS OF APPROPRIATIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The State may terminate the contract, in whole or in part, in the event funding is no longer available. The State's obligation to pay amounts due for fiscal years following the current fiscal year is contingent upon legislative appropriation of funds for the contract. Should said funds not be appropriated, the State may terminate the contract with respect to those payments for the fiscal years for which such funds are not appropriated. The State will give the Contractor written notice thirty (30) calendar days prior to the effective date of any termination, and advise the Contractor of the location (address and room number) of any related equipment. All obligations of the State to make payments after the termination date will cease and all interest of the State in any related equipment will terminate. The Contractor shall be entitled to receive just and equitable compensation for any authorized work which has been satisfactorily completed as of the termination date. In no event shall the Contractor be paid for a loss of anticipated profit.

1.1.28 BB - BREACH BY CONTRACTOR

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The State may terminate the contract, in whole or in part, if the Contractor fails to perform its obligations under the contract in a timely and proper manner. The State may, by providing a written notice of default to the Contractor, allow the Contractor to cure a failure or breach of contract within a period of thirty (30) calendar days (or longer at State's discretion considering the gravity and nature of the default). Said notice shall be delivered by Certified Mail, Return Receipt Requested, or in person with proof of delivery. Allowing the Contractor time to cure a failure or breach of contract does not waive the State's right to immediately terminate the contract for the same or different contract breach which may occur at a different time. In case of default of the Contractor, the State may contract the service from other sources and hold the Contractor responsible for any excess cost occasioned thereby.

1.1.29 CC - ASSURANCES BEFORE BREACH

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

If any document or deliverable required pursuant to the contract does not fulfill the requirements of the Request for Proposal/resulting contract, upon written notice from the State, the Contractor shall deliver assurances in the form of additional Contractor resources at no additional cost to the project in order to complete the deliverable, and to ensure that other project schedules will not be adversely affected.

1.1.30 DD - ADMINISTRATION – CONTRACT TERMINATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

1. Contractor must provide confirmation that upon contract termination all deliverables prepared in accordance with this agreement shall become the property of the State of Nebraska; subject to the ownership provision (section E) contained herein, and is provided to the State of Nebraska at no additional cost to the State.
2. Contractor must provide confirmation that in the event of contract termination, all records that are the property of the State will be returned to the State within thirty (30) calendar days. Notwithstanding the above, Contractor may retain one copy of any information as required to comply with applicable work product documentation standards or as are automatically retained in the course of Contractor's routine back up procedures.

1.1.31 EE - PENALTY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			



In the event that the Contractor fails to perform any substantial obligation under the contract, the State may withhold all monies due and payable to the Contractor, without penalty, until such failure is cured or otherwise adjudicated. Failure to meet the dates for the deliverables as agreed upon by the parties may result in an assessment of penalty due the State of \$500.00 dollars per day, until the deliverables are approved. Contractor will be notified in writing when penalty will commence.

1.1.32 FF - FORCE MAJEURE

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

Neither party shall be liable for any costs or damages resulting from its inability to perform any of its obligations under the contract due to a natural disaster, or other similar event outside the control and not the fault of the affected party ("Force Majeure Event"). A Force Majeure Event shall not constitute a breach of the contract. The party so affected shall immediately give notice to the other party of the Force Majeure Event. The State may grant relief from performance of the contract if the Contractor is prevented from performance by a Force Majeure Event. The burden of proof for the need for such relief shall rest upon the Contractor. To obtain release based on a Force Majeure Event, the Contractor shall file a written request for such relief with the State Purchasing Bureau. Labor disputes with the impacted party's own employees will not be considered a Force Majeure Event and will not suspend performance requirements under the contract.

1.1.33 GG - PROHIBITION AGAINST ADVANCE PAYMENT

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

Payments shall not be made until contractual deliverable(s) are received and accepted by the State.

1.1.34 HH - PAYMENT

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

State will render payment to Contractor when the terms and conditions of the contract and specifications have been satisfactorily completed on the part of the Contractor as solely determined by the State. Payment will be made by the responsible agency in compliance with the State of Nebraska Prompt Payment Act (See Neb. Rev. Stat. §§ 81-2401 through 81-2408). The State may require the Contractor to accept payment by electronic means such as ACH deposit. In no event shall the State be responsible or liable to pay for any services provided by the Contractor prior to the Effective Date, and the Contractor hereby waives any claim or cause of action for any such services.

1.1.35 II - INVOICES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

Invoices for payments must be submitted by the Contractor to the agency requesting the services with sufficient detail to support payment. The terms and conditions included in the Contractor's invoice shall be deemed to be solely for the convenience of the parties. No terms or conditions of any such invoice shall be binding upon the State, and no action by the State, including without limitation the payment of any such invoice in whole or in part, shall be construed as binding or stopping the State with respect to any such term or condition, unless the invoice term or condition has been previously agreed to by the State as an amendment to the contract.

1.1.36 JJ - RIGHT TO AUDIT

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

Contractor shall establish and maintain a reasonable accounting system that enables the State to readily audit contract. The State and its authorized representatives shall have the right to audit, to examine, and to make copies of or extracts from all financial and related records (in whatever form they may be kept, whether written, electronic, or other) relating to or pertaining to this contract kept by or under the control of the Contractor, including, but not limited to those kept by the Contractor, its employees, agents, assigns, successors, and Subcontractors. Such records shall include, but not be limited to, accounting records, written policies and procedures; all paid vouchers including those for out-of-pocket expenses; other reimbursement supported by invoices; ledgers; cancelled checks; deposit slips; bank statements; journals; original estimates; estimating work sheets; contract amendments and change order files; back charge logs and supporting documentation; insurance documents; payroll documents; timesheets; memoranda; and correspondence.

Contractor shall, at all times during the term of this contract and for a period of five (5) years after the completion of this contract, maintain such records, together with such supporting or underlying documents and materials. The Contractor shall at any time requested by the State, whether during or after completion of this contract and at Contractor's own expense make such records available for inspection and audit (including copies and extracts of records as required) by the State. Such records shall be made available to the State during normal business hours at the Contractor's office or place of business. In the event that no such location is available, then the financial records, together with the supporting or underlying documents and records, shall be made available for audit at a time and location that is convenient for the State. Contractor shall ensure the State has these rights with Contractor's assigns, successors, and Subcontractors, and the obligations of these rights shall be explicitly included in any subcontracts or agreements formed between the Contractor and any Subcontractors to the extent that those Subcontracts or agreements relate to fulfillment of the Contractor's obligations to the State.

Costs of any audits conducted under the authority of this right to audit and not addressed elsewhere will be borne by the State unless certain exemption criteria are met. If the audit identifies overpricing or overcharges (of any nature) by the Contractor to the State in excess of one-half of one percent (.5%) of the total contract billings, the Contractor shall reimburse the State for the total costs of the audit. If the audit discovers substantive findings related to fraud, misrepresentation, or non-performance, the Contractor shall reimburse the State for total costs of audit. Any adjustments and/or payments that must be made as a result of any such audit or inspection of the Contractor's invoices and/or records shall be made within a reasonable amount of time (not to exceed 90 days) from presentation of the State's findings to Contractor.

1.1.37 KK - TAXES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The State is not required to pay taxes of any kind and assumes no such liability as a result of this solicitation. Any property tax payable on the Contractor's equipment which may be installed in a state-owned facility is the responsibility of the Contractor.

1.1.38 LL - INSPECTION AND APPROVAL

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

Final inspection and approval of all work required under the contract shall be performed by the designated State officials. The State and/or its authorized representatives shall have the right to enter any premises where the Contractor or Subcontractor duties under the contract are being performed, and to inspect, monitor or otherwise evaluate the work being performed. All inspections and evaluations shall be at reasonable times and in a manner that will not unreasonably delay work.

1.1.39 MM - CHANGES IN SCOPE/CHANGE ORDERS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The State may, upon the written agreement of Contractor, make changes to the contract within the general scope of the RFP. The State may, at any time work is in progress, by written agreement, make alterations in the terms of work as shown in the specifications, require the Contractor to make corrections, decrease the quantity of work, or make such other changes as the State may find necessary or desirable. The Contractor shall not claim forfeiture of contract by reasons of such changes by the State. Changes in work and the amount of compensation to be paid to the Contractor shall be determined in accordance with applicable unit prices if any, or a pro-rated value.

Corrections of any deliverable, service or performance of work required pursuant to the contract shall not be deemed a modification. Changes or additions to the contract beyond the scope of the RFP are not permitted.

1.1.40 NN - SEVERABILITY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

If any term or condition of the contract is declared by a court of competent jurisdiction to be illegal or in conflict with any law, the validity of the remaining terms and conditions shall not be affected, and the rights and obligations of the parties shall be construed and enforced as if the contract did not contain the particular provision held to be invalid.

1.1.41 OO - CONFIDENTIALITY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

All materials and information provided by the State or acquired by the Contractor on behalf of the State shall be regarded as confidential information. All materials and information provided by the State or acquired by the Contractor on behalf of the State shall be handled in accordance with federal and state law, and ethical standards. The Contractor must ensure the confidentiality of such materials or information. Should said confidentiality be breached by a Contractor, Contractor shall notify the State immediately of said breach and take immediate corrective action.

It is incumbent upon the Contractor to inform its officers and employees of the penalties for improper disclosure imposed by the Privacy Act of 1974, 5 U.S.C. 552a. Specifically, 5 U.S.C. 552a (i)(1), which is made applicable to Contractors by 5 U.S.C. 552a (m)(1), provides that any officer or employee of a Contractor, who by virtue of his/her employment or official position has possession of or access to agency records which contain individually identifiable information, the disclosure of which is prohibited by the Privacy Act or regulations established thereunder, and who knowing that disclosure of the specific material is prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than \$5,000.

1.1.42 PP - PROPRIETARY INFORMATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

Data contained in the proposal and all documentation provided therein, become the property of the State of Nebraska and the data becomes public information upon opening the proposal. If the bidder wishes to have any information withheld from the public, such information must fall within the definition of proprietary information contained within Nebraska's public record statutes. **All proprietary information the bidder wishes the State to withhold must be submitted in a sealed package, which is separate from the remainder of the proposal, and provide supporting documents showing why such documents should be marked proprietary.** The separate package must be clearly marked PROPRIETARY on the outside of the package. **Bidders may not mark their entire Request for Proposal as proprietary.** Bidder's cost proposals may not be marked as proprietary information. Failure of the bidder to follow the instructions for submitting proprietary and copyrighted information may result in the information being viewed by other bidders and the public. Proprietary information is defined as trade secrets, academic and scientific research work which is in progress and unpublished, and other information which if released would give advantage to business competitors and serve no public purpose (see Neb. Rev. Stat. § 84-712.05(3)). In accordance with Attorney General Opinions 92068 and 97033, bidders submitting information as proprietary may be required to prove specific, named competitor(s) who would be advantaged by release of the information and the specific advantage the competitor(s) would receive. Although every effort will be made to withhold information that is properly submitted as proprietary and meets the State's definition of proprietary information, the State is under no obligation to maintain the confidentiality of proprietary information and accepts no liability for the release of such information.

1.1.43 QQ - CERTIFICATION OF INDEPENDENT PRICE DETERMINATION/COLLUSIVE BIDDING

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

By submission of this proposal, the bidder certifies that it is the party making the foregoing proposal and that the proposal is not made in the interest of, or on behalf of, any undisclosed person, partnership, company, association, organization, or corporation; that the proposal is genuine and not collusive or sham; that the bidder has not directly or indirectly induced or solicited any other bidder to put in a false or sham proposal, and has not directly or indirectly colluded, conspired, connived, or agreed with any bidder or anyone else to put in a sham proposal, or that anyone shall refrain from bidding; that the bidder has not in any manner, directly or indirectly, sought by agreement, communication, or conference with anyone to fix the proposal price of the bidder or any other bidder, or to fix any overhead, profit, or cost element of the proposal price, or of that of any other bidder, or to secure any advantage against the public body awarding the contract of anyone interested in the proposed contract; that all statements contained in the proposal are true; and further that the bidder has not, directly or indirectly, submitted the proposal price or any breakdown thereof, or the contents thereof, or divulged information or data relative thereto, or paid, and will not pay, any fee to any corporation, partnership, company, association, organization, proposal depository, or to any member or agent thereof to effectuate a collusive or sham proposal.

1.1.44 RR - STATEMENT OF NON-COLLUSION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The proposal shall be arrived at by the bidder independently and be submitted without collusion with, and without any direct or indirect agreement, understanding or planned common course of action with, any person; firm; corporation; bidder; Contractor of materials, supplies, equipment or services described in this RFP. Bidder shall not collude with, or attempt to collude with, any state officials, employees or agents; or evaluators or any person involved in this RFP. The bidder shall not take any action in the restraint of free competition or designed to limit independent bidding or to create an unfair advantage.

Should it be determined that collusion occurred, the State reserves the right to reject a bid or terminate the contract and impose further administrative sanctions.

1.1.45 SS - PRICES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

All prices, costs, and terms and conditions outlined in the proposal shall remain fixed and valid commencing on the opening date of the proposal until an award is made or the Request for Proposal is cancelled.

Prices quoted on the Cost Proposal form shall remain fixed for the first year of the contract period. Any request for a price increase must be submitted in writing to the State Purchasing Bureau a minimum of 120 days prior to the price increase effective date, and be accompanied by documentation justifying the price increase. Further documentation may be required by the State to justify the increase. The State reserves the right to deny any requested price increase. No price increases are to be billed to any State Agencies prior to written amendment of the contract by the parties.

The State will be given full proportionate benefit of any price decrease during the term of the contract.

Contractor represents and warrants that all prices for services, now or subsequently specified, are as low as and no higher than prices which the Contractor has charged or intends to charge customers other than the State for the same or similar products and services of the same or equivalent quantity and quality for delivery or performance during the same periods of time. If, during the term of the contract, the Contractor shall reduce any and/or all prices charged to any customers other than the State for the same or similar products or services specified herein, the Contractor shall make an equal or equivalent reduction in corresponding prices for said specified products or services.

Contractor also represents and warrants that all prices set forth in the contract and all prices in addition, which the Contractor may charge under the terms of the contract, do not and will not violate any existing federal, state, or municipal law or regulations concerning price discrimination and/or price fixing. Contractor agrees to hold the State harmless from any such violation. Prices quoted shall not be subject to increase throughout the contract period unless specifically allowed by these specifications.

1.1.46 TT. BEST AND FINAL OFFER

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The State will compile the final scores for all parts of each proposal. The award may be granted to the highest scoring responsive and responsible bidder. Alternatively, the highest scoring bidder or bidders may be requested to submit best and final offers. If best and final offers are requested by the State and submitted by the bidder, they will be evaluated (using the stated criteria), scored, and ranked by the Evaluation Committee. The award will then be granted to the highest scoring bidder. However, a bidder should provide its best offer in its original proposal. Bidders should not expect that the State will request a best and final offer.

1.1.47 UU - ETHICS IN PUBLIC CONTRACTING

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

No bidder shall pay or offer to pay, either directly or indirectly, any fee, commission compensation, gift, gratuity, or anything of value to any State officer, legislator, employee or evaluator based on the understanding that the receiving person's vote, actions, or judgment will be influenced thereby. No bidder shall give any item of value to any employee of the State Purchasing Bureau or any evaluator.

Bidders shall be prohibited from utilizing the services of lobbyists, attorneys, political activists, or consultants to secure the contract. It is the intent of this provision to assure that the prohibition of state contact during the procurement process is not subverted through the use of lobbyists, attorneys, political activists, or consultants. It is the intent of the State that the process of evaluation of proposals and award of the contract be completed without external influence. It is not the intent of this section to prohibit bidders from seeking professional advice, for example consulting legal counsel, regarding terms and conditions of this Request for Proposal or the format or content of their proposal.

If the bidder is found to be in non-compliance with this section of the Request for Proposal, they may forfeit the contract if awarded to them or be disqualified from the selection process.

1.1.48 VV - INDEMNIFICATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

1. General

The Contractor agrees to defend, indemnify, hold, and save harmless the State and its employees, volunteers, agents, and its elected and appointed officials ("the indemnified parties") from and against any and all claims, liens,



demands, damages, liability, actions, causes of action, losses, judgments, costs, and expenses of every nature, including investigation costs and expenses, settlement costs, and attorney fees and expenses ("the claims"), sustained or asserted against the State, arising out of, resulting from, or attributable to the willful misconduct, negligence, error, or omission of the Contractor, its employees, Subcontractors, consultants, representatives, and agents, except to the extent such Contractor liability is attenuated by any action of the State which directly and proximately contributed to the claims.

2. Intellectual Property

The Contractor agrees it will, at its sole cost and expense, defend, indemnify, and hold harmless the indemnified parties from and against any and all claims, to the extent such claims arise out of, result from, or are attributable to, the actual or alleged infringement or misappropriation of any patent, copyright, trade secret, trademark, or confidential information of any third party by the Contractor or its employees, Subcontractors, consultants, representatives, and agents; provided, however, the State gives the Contractor prompt notice in writing of the claim. The Contractor may not settle any infringement claim that will affect the State's use of the Licensed Software without the State's prior written consent, which consent may be withheld for any reason.

If a judgment or settlement is obtained or reasonably anticipated against the State's use of any intellectual property for which the Contractor has indemnified the State, the Contractor shall, at the Contractor's sole cost and expense, promptly modify the item or items which were determined to be infringing, acquire a license or licenses on the State's behalf to provide the necessary rights to the State to eliminate the infringement, or provide the State with a non-infringing substitute that provides the State the same functionality. At the State's election, the actual or anticipated judgment may be treated as a breach of warranty by the Contractor, and the State may receive the remedies provided under this RFP.

3. Personnel

The Contractor shall, at its expense, indemnify and hold harmless the indemnified parties from and against any claim with respect to withholding taxes, worker's compensation, employee benefits, or any other claim, demand, liability, damage, or loss of any nature relating to any of the personnel provided by the Contractor.

4. Self-Insurance

The State of Nebraska is self-insured for any loss and purchases excess insurance coverage pursuant to Neb. Rev. Stat. § 81-8,239.01 (Reissue 2008). If there is a presumed loss under the provisions of this agreement, Contractor may file a claim with the Office of Risk Management pursuant to Neb. Rev. Stat. §§ 81-8,829 – 81-8,306 for review by the State Claims Board. The State retains all rights and immunities under the State Miscellaneous (Section 81-8,294), Tort (Section 81-8,209), and Contract Claim Acts (Section 81-8,302), as outlined in Neb. Rev. Stat. § 81-8,209 *et seq.* and under any other provisions of law and accepts liability under this agreement to the extent provided by law.

5. All Remedies At Law

Nothing in this agreement shall be construed as an indemnification by one party of the other for liabilities of a party or third parties for property loss or damage or death or personal injury arising out of and during the performance of this lease. Any liabilities or claims for property loss or damages or for death or personal injury by a party or its agents, employees, contractors or assigns or by third persons, arising out of and during the performance of this lease shall be determined according to applicable law.

1.1.49 WW - NEBRASKA TECHNOLOGY ACCESS STANDARDS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

Contractor shall review the Nebraska Technology Access Standards, found at <http://nitc.nebraska.gov/standards/2-201.html> and ensure that products and/or services provided under the contract are in compliance or will comply with the applicable standards to the greatest degree possible. In the event such standards change during the Contractor's performance, the State may create an amendment to the contract to request the contract comply with the changed standard at a cost mutually acceptable to the parties.

1.1.50 XX - ANTITRUST

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The Contractor hereby assigns to the State any and all claims for overcharges as to goods and/or services provided in connection with this contract resulting from antitrust violations which arise under antitrust laws of the United States and the antitrust laws of the State.

1.1.51 YY - DISASTER RECOVERY/BACK UP PLAN

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The Contractor shall have a disaster recovery and back-up plan, of which a copy should be provided to the State, which includes, but is not limited to equipment, personnel, facilities, and transportation, in order to continue services as specified under the specifications in the contract in the event of a disaster.

1.1.52 ZZ - TIME IS OF THE ESSENCE

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

Time is of the essence in this contract. The acceptance of late performance with or without objection or reservation by the State shall not waive any rights of the State nor constitute a waiver of the requirement of timely performance of any obligations on the part of the Contractor remaining to be performed.

1.1.53 AAA - RECYCLING

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

Preference will be given to items which are manufactured or produced from recycled material or which can be readily reused or recycled after their normal use as per Neb. Rev. Stat. § 81-15,159.

1.1.54 BBB - DRUG POLICY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

Contractor certifies it maintains a drug free work place environment to ensure worker safety and workplace integrity. Contractor agrees to provide a copy of its drug free workplace policy at any time upon request by the State.

1.1.55 CCC - EMPLOYEE WORK ELIGIBILITY STATUS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The Contractor is required and hereby agrees to use a federal immigration verification system to determine the work eligibility status of employees physically performing services within the State of Nebraska. A federal immigration verification system means the electronic verification of the work authorization program authorized by the Illegal Immigration Reform and Immigrant Responsibility Act of 1996, 8 U.S.C. 1324a, known as the E-Verify Program, or an equivalent federal program designated by the United States Department of Homeland Security or other federal agency authorized to verify the work eligibility status of an employee.

If the Contractor is an individual or sole proprietorship, the following applies:

1. The Contractor must complete the United States Citizenship Attestation Form, available on the Department of Administrative Services website at <http://das.nebraska.gov/materiel/purchasing.html>
The completed United States Attestation Form should be submitted with the Request for Proposal response.
2. If the Contractor indicates on such attestation form that he or she is a qualified alien, the Contractor agrees to provide the US Citizenship and Immigration Services documentation required to verify the Contractor's lawful presence in the United States using the Systematic Alien Verification for Entitlements (SAVE) Program.
3. The Contractor understands and agrees that lawful presence in the United States is required and the



Contractor may be disqualified or the contract terminated if such lawful presence cannot be verified as required by Neb. Rev. Stat. § 4-108.

1.1.56 DDD - CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND INELIGIBILITY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The Contractor, by signature to this RFP, certifies that the Contractor is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any federal department or agency from participating in transactions (debarred). The Contractor also agrees to include the above requirements in any and all Subcontracts into which it enters. The Contractor shall immediately notify the Department if, during the term of this contract, Contractor becomes debarred. The Department may immediately terminate this contract by providing Contractor written notice if Contractor becomes debarred during the term of this contract.

Contractor, by signature to this RFP, certifies that Contractor has not had a contract with the State of Nebraska terminated early by the State of Nebraska. If Contractor has had a contract terminated early by the State of Nebraska, Contractor must provide the contract number, along with an explanation of why the contract was terminated early. Prior early termination may be cause for rejecting the proposal.

1.1.57 EEE - POLITICAL SUB-DIVISIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

The Contractor may extend the contract to political sub-divisions conditioned upon the honoring of the prices charged to the State. Terms and conditions of the Contract must be met by political sub-divisions. Under no circumstances shall the State be contractually obligated or liable for any purchases by political sub-divisions or other public entities not authorized by Neb. Rev. Stat. § 81-145, listed as "all officers of the state, departments, bureaus, boards, commissions, councils, and institutions receiving legislative appropriations." A listing of Nebraska political subdivisions may be found at the website of the Nebraska Auditor of Public Accounts.

1.1.58 FFF - OFFICE OF PUBLIC COUNSEL

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			



If it provides, under the terms of this contract and on behalf of the State of Nebraska, health and human services to individuals; service delivery; service coordination; or case management, Contractor shall submit to the jurisdiction of the Office of Public Counsel, pursuant to Neb. Rev. Stat. §§ 81-8,240 et seq. This section shall survive the termination of this contract and shall not apply if Contractor is a long-term care facility subject to the Long-Term Care Ombudsman Act, Neb. Rev. Stat. §§ 81-2237 et seq.

1.1.59 GGG - LONG-TERM CARE OMBUDSMAN

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
ES			

If it is a long-term care facility subject to the Long-Term Care Ombudsman Act, Neb. Rev. Stat. §§ 81-2237 et seq., Contractor shall comply with the Act. This section shall survive the termination of this contract.

1.2 FORM A - BIDDER CONTACT SHEET

Form A Bidder Contact Sheet Request for Proposal Number 5252 Z1

Form A should be completed and submitted with each response to this Request for Proposal. This is intended to provide the State with information on the bidder's name and address, and the specific person(s) who are responsible for preparation of the bidder's response.

Preparation of Response Contact Information	
Bidder Name:	Software Engineering Services
Bidder Address:	1311 Fort Crook Road, South, Suite 100 Bellevue, NE 68005
Contact Person & Title:	Mr. Esper Smith, Director of Business Operations
E-mail Address:	esmith@sessolutions.com
Telephone Number (Office):	(402) 292-9660
Telephone Number (Cellular):	(402) 871-8546
Fax Number:	(402) 292-3271

Each bidder shall also designate a specific contact person who will be responsible for responding to the State if any clarifications of the bidder's response should become necessary. This will also be the person who the State contacts to set up a presentation/demonstration, if required.

Communication with the State Contact Information	
Bidder Name:	Software Engineering Services
Bidder Address:	1311 Fort Crook Road, South, Suite 100 Bellevue, NE 68005
Contact Person & Title:	Mr. Esper Smith, Director of Business Operations



E-mail Address:	esmith@sessolutions.com
Telephone Number (Office):	(402) 292-9660, ext. 212
Telephone Number (Cellular):	(402) 871-8546
Fax Number:	(402) 292-3271

1.3 ADDENDUM ACKNOWLEDGEMENT

Software Engineering Services has reviewed and acknowledges the following Addendums to this RFP:

- Addendum 1, dated March 31, 2016
- Addendum 2, dated April 4, 2016
- Addendum 3, dated April 7, 2016
- Addendum 4, dated April 4 (but released on April 21), 2016
- Addendum 5, dated April 20 (but released on April 25), 2016
- Addendum 6, dated May 16, 2016





2.0 CORPORATE OVERVIEW

As the State of Nebraska Department of Health & Human Services (DHHS) Medicaid and Long-Term Care (MLTC) Division tackles its operational vision of re-engineering its eligibility and enrollment process and implementing a new data analytical solution, competent and committed partners are critical to assisting you in the achievement of these enterprise improvements. As a Nebraska-based company, we share your desire to continue improving the health and wellness of our fellow Nebraskans, specifically those depending on the quality and efficiency of Medicaid programs and services.



Software Engineering Services (SES) is a Service Disabled Veteran Owned, Minority Owned Small Business. Established in 1991, SES is based in Bellevue, Nebraska, with offices located across the United States, including Colorado Springs, CO; Des Moines, IA; FL; Montgomery, AL; Killeen, TX; and Washington, DC.

FOCUS AREAS

SES has a broad background in state government environments, specifically in the areas of Independent Verification and Validation (IV&V), Project Management, and Health and Human Services. As a premiere software engineering firm, SES has a proven capability of providing extremely strong project management, IV&V, process engineering, software development, quality assurance, configuration management, and testing capabilities for over 25 state and federal agencies on similar types of projects.

Why Choose SES?
<ul style="list-style-type: none"> •SES has over 22 years of IV&V, QA, testing, re-engineering and project management experience •Over the last 15 yrs, SES has been primarily in Medicaid, DHS and healthcare related environments •SES has performed IV&V on 5 large-scale projects with budgets of \$50M+ and 1 project exceeding \$200M •SES is currently performing IV&V for MMIS (Alabama, Kansas, Texas) and HIE/HIX (Kansas, Minnesota) •SES has over 300 IV&V checklists and 25 tools •SES has certification experience with CMS and Office of Child Support Enforcement (OCSE) •SES is on the pre-approved IV&V vendor's list in 11 states and multiple Federal agencies

EXPERIENCE SUMMARY

Over the last 20 years, SES has demonstrated the capacity, ability and skilled resources to deliver IV&V, QA, testing, DDI and project management in more than 100 projects. Our reputation, integrity, character, and quality performance is further demonstrated with the Alabama Medicaid Agency where we are on our 10th contract over the last 12 years of MMIS and EE IV&V and MITA consulting, in Texas Medicaid where we are in the 8th year of our 2nd 5-yr IV&V engagement, in Kansas where our HIX IV&V contract has been extended 4 times, in Minnesota where our HIX IV&V contract was just extended for 2 more years, and lastly at Offutt AFB where our system engineering contract is entering our 10th yr. These contract extensions and considerable follow-on work with the same satisfied clients is very representative of our commitment to our clients.

PROCESS MATURITY - CMMI

SES is founded on solid software engineering principles emphasizing mature and repeatable processes, highly trained and committed IT professionals, guaranteed customer satisfaction, and total partnership with our customers and all stakeholders. **SES is 1 of only 5 companies in the US that is both CMMI Level 3 certified and a leading CMMI organization that provides CMMI Level 2 & Level 3 assessments and implementation services.** We are the only IV&V Contractor that can offer CMMI Value-Added services (at no additional cost). We employ IV&V techniques that have been integrated with several best practices (IEEE, CMMI, PMBOK, OCSE and ISO) to provide one of the most proven IV&V methodologies in the industry.



INDEPENDENT ASSESSMENTS

SES will perform independent assessments of the implementation project status and present objective assessments of project progress and key findings, thereby ensuring that your systems will be ready by the Go Live targeted dates.

The SES IV&V team will be your independent “eyes and ears” into the inner workings of your EES and DMA projects. We are free of any ties to the implementation vendor and their project team, allowing us to operate without any conflict of interest. We will provide insight into all aspects of the project: requirements management, adherence to the schedule and budget, project governance, technical architectures and organizational changes.

PERFORMANCE TRACK RECORD

Using our proven IV&V methodology and CMMI Level 3 Assessed processes, our findings will clearly identify major issues that could have an adverse effect on the scope, cost, schedule, quality, or resources of your project. Our **“Perfect Track Record”** of completing projects on-time and on-budget is our commitment to the State of Nebraska, our partner in this endeavor. We will do what it takes to ensure that the job is done, and that it’s done right.

SES is proud of our **100% project success rate**, not only with our IV&V projects, but with each and every project we have engaged in since our founding in 1991. We feel that this success rate can be directly attributed to our focus on customer service; quality; mature and repeatable processes; and partnering with each customer to truly understand their project goals and requirements.



KEY DISCRIMINATORS

We would like to highlight seven (7) key discriminators for your consideration:

- 1) Our CORE Project Team (PM, Sr. IV&V Analyst, Test Analyst & System Architect) average over 20 years of IT, MMIS and healthcare experience.
- 2) We have developed a solid transition plan that will allow our CORE Project Team to transfer from EES project to DMA project with no project impact risk.
- 3) We will allow our Project Team II to come up to speed on the EES project during a 30 day transition period at no additional cost to the State.
- 4) Our MMIS/EE/MITA SME Pool will provide detailed, specialized support and capabilities to both projects; also our Corporate Support Pool will provide continuous project and quality oversight ensuring we are held accountable in meeting our internal performance metrics.
- 5) We will provide 24x7x365 IV&V performance and status dashboards reflecting pertinent and accurate information through our IV&V Manager toolset in addition to a structured, proven deliverables management process.
- 6) Our proprietary Partnership Success Commitment Agreement process will ensure that the State, DDI Contractors and IV&V are committed and tied to metrics focused on "Total Partnership Success".
- 7) We are proposing our CORE Team will be on-site 100% (we understand the challenges of maintaining cohesion and effectiveness and accountability in the long run with mostly remote staff) – given available space, we will use it and be part of your team, in the trenches every day on-site.

SES sincerely appreciates this opportunity to present our IV&V solution and looks forward to ensuring the complete and total success of your EES and DMA projects (and optional projects if executed) as your IV&V partner. I can guarantee that we will accept full responsibility and accountability through our "Partnership for Success" framework.

We respectfully submit our proposal for your consideration.

Jim Bridges

Jim Bridges
President & CEO
Software Engineering Services



2.1 A - BIDDER IDENTIFICATION AND INFORMATION

Software Engineering Services (SES) is a US Service Disabled Veteran-Minority Owned Small Business corporation with corporate headquarters in Nebraska, and regional business facilities in Washington, D.C., TX, CO, IA, and AL. Founded in 1991, and incorporated in the State of Nebraska in 1992, SES has maintained the same ownership and name since its inception. Corporate headquarters are located at: 1311 Fort Crook Road South, Suite 100, Bellevue, NE 68005.



2.2 B - FINANCIAL STATEMENTS

Software Engineering Services Inc -2016
Balance Sheet
December 31, 2015

ASSETS

Current Assets		
Petty Cash	\$	500.00
Regular Chkn Acct-Grt Western		294,614.89
Wells Fargo - chk 115-6985453		16,802.88
Client Fees Receivable		707,558.95
Other Receivables		212,715.28
Employee Advances		<u>14,821.37</u>
Total Current Assets		1,247,013.37
Property and Equipment		
Furniture and Fixtures		161,203.14
Equipment		239,574.94
Automobiles		118,234.00
Building		3,193,968.65
Building Improvements		17,885.50
Land		40,309.00
Accum. Depreciation - Furnitur		(172,150.48)
Accum. Depreciation - Equipmen		(185,490.18)
Accum. Depreciation - Automobi		(88,937.32)
Accum. Depreciation - Other		(1,907.78)
Accum. Depreciation - Building		<u>(809,000.58)</u>
Total Property and Equipment		2,513,688.89
Other Assets		
Investment in Biomedical Solut		<u>1,000.00</u>
Total Other Assets		<u>1,000.00</u>
Total Assets	\$	<u><u>3,761,702.26</u></u>

LIABILITIES AND CAPITAL

Current Liabilities		
Accounts Payable	\$	54,540.61
Credit Card Payable Exp Repts		(204,619.00)
Federal Payroll Taxes Payable		(218.72)
State Payroll Taxes Payable		19,643.81
Other Current Liabilities		15,000.00
Clearing Acct		<u>(250.27)</u>
Total Current Liabilities		(115,903.57)
Long-Term Liabilities		
GW-Bank Loan 15525206919 L		2,486,915.88
Loan from Stockholders		157,565.15

1/28/2016 at 2:28 PM

Unaudited - For Management Purposes Only



Software Engineering Services Inc -2016
Balance Sheet
December 31, 2015

Loan 02 From Stock Holders	<u>25,000.00</u>	
Total Long-Term Liabilities		<u>2,669,481.03</u>
Total Liabilities		2,553,577.46
Capital		
Common Stock	10,000.00	
Paid-in Capital	336,922.83	
Retained Earnings	487,482.65	
Net Income	<u>373,719.32</u>	
Total Capital		<u>1,208,124.80</u>
Total Liabilities & Capital		<u>\$ 3,761,702.26</u>



Software Engineering Services Inc -2016
Statement of Cash Flow
For the twelve Months Ended December 31, 2015

	Current Month	Year to Date
Cash Flows from operating activities		
Net Income	\$ 215,889.46	\$ 470,219.32 *
Adjustments to reconcile net income to net cash provided by operating activities		
Client Fees Receivable	(20,251.97)	744,665.80
Employee Advances	404.16	(6,711.36)
Accounts Payable	(50,774.45)	(43,624.20)
Credit Card Payable Exp Repts	11,053.07	(65,754.61)
State Payroll Taxes Payable	0.00	(2,038.71)
	<u>(59,569.19)</u>	<u>626,536.92</u>
Total Adjustments		
Net Cash provided by Operations	<u>156,320.27</u>	<u>1,096,756.24</u>
Cash Flows from investing activities		
Used For		
Automobiles	0.00	(21,000.00)
	<u>0.00</u>	<u>(21,000.00)</u>
Net cash used in investing		
Cash Flows from financing activities		
Proceeds From		
GW-Bank Loan 15525206919 L	0.00	1,670,566.87
Loan 02 From Stock Holders	0.00	50,000.00
Used For		
GW-Bank Loan 15525206919 L	0.00	(2,531,608.94)
Loan 02 From Stock Holders	0.00	(50,000.00)
	<u>0.00</u>	<u>(861,042.07)</u>
Net cash used in financing		
Net increase <decrease> in cash	<u>\$ 156,320.27</u>	<u>\$ 214,714.17</u>
Summary		
Cash Balance at End of Period	\$ 311,917.77	\$ 311,917.77
Cash Balance at Beg of Period	(155,597.50)	(97,203.60)
	<u>156,320.27</u>	<u>214,714.17</u>
Net Increase <Decrease> in Cash		

* Estimated Depreciation Expense \$ 96,500



Software Engineering Services Inc -2016
Income Statement
For the Twelve Months Ending December 31, 2015

	Year to Date	
Revenues		
Professional Service Revenue	\$ 6,345,169.67	98.21
Rental Income	<u>115,616.70</u>	1.79
 Total Revenues	 <u>6,460,786.37</u>	 100.00
 Expenses		
Direct Labor to a Project	3,005,534.72	46.52
Direct Sub-Contractor cost	394,549.71	6.11
Bid & Proposal Materials G&A	10,108.89	0.16
Bid & Proposal Other DC G&A	1,247.55	0.02
Bid & Proposal Consultants	35,873.00	0.56
Fringe-Grp Medical Ins	201,781.64	3.12
Fringe-Disability Insurance	30,734.80	0.48
Fringe-Workers Comp Ins	47,988.63	0.74
Fringe-Life Insurance	21,838.91	0.34
Fringe-Dental	19,358.17	0.30
Fringe-Other Insurance	494.95	0.01
Fringe - Payroll Taxes	320,099.30	4.95
Fringe - Other	34,772.07	0.54
Fringe-Tuition Program	592.50	0.01
Facilities-Bldg Rent O/H	39,487.25	0.61
Facilities-Equipment Rent	82.44	0.00
Facilities-Telephone Service	21,941.11	0.34
Facilities-Internet Service	3,312.08	0.05
Facilities-Utilities Service	36,279.01	0.56
Facilities-Water Rental	510.62	0.01
Facilities - Depreciation Exp est.	96,500.00	1.49
Facilities-Security	363.91	0.01
Facilities-Janitorial Services	22,160.46	0.34
Facilities:Repair & Maintenan	1,749.45	0.03
Facilities-Bldg Repair	2,436.66	0.04
Facilities-Equipment Repair	8,758.62	0.14
Facilities-Office Rearrangemt	198.75	0.00
Facilities-property Tax Bldg	67,361.44	1.04
Facilities-Gen Supplies O/H	377.98	0.01
Facilities-Office Supplies O/H	3,554.85	0.06
O/H - Technician Salaries	458,590.36	7.10
O/H - Marketing Salaries	174,157.62	2.70
O/H- Marketing	3,411.56	0.05
O/H - Human Resources Salaries	375,246.33	5.81
O/H Recruitment	9,587.94	0.15
O/H - Travel Activities	110,653.05	1.71
O/H - Meals and Per Diem	14,742.09	0.23
O/H-Licenses & Fees	617.84	0.01
O/H - Seminars & Training	2,747.23	0.04
O/H - Office Supplies	443.29	0.01
G&A Auto Expense	338.86	0.01
G&A Bank Charges	345.00	0.01
Sales Tax Expense	280.43	0.00



Software Engineering Services Inc -2016
Income Statement
For the Twelve Months Ending December 31, 2015

	Year to Date	
G&A General Taxes	6,444.51	0.10
G&A State Income Taxes	9,636.85	0.15
G&A Accounting Fees	23,485.38	0.36
G&A Legal Fees	54,551.70	0.84
G&A Other Professional Fees	74,121.18	1.15
G&A - Executive Salaries	66,125.00	1.02
G&A - Human Resources Salaries	128,824.63	1.99
G&A Travel	643.24	0.01
G&A Meals & per Diem	2,027.16	0.03
G&A Meeting & Office Exp	1,637.52	0.03
G&A Training & Seminars	5,951.24	0.09
G&A Employee Gifts	732.73	0.01
G& A Laptop, Comput,Prote Plan	2,537.53	0.04
G&A Office Supplies	20,501.10	0.32
G&A Postage & Overnight shippn	885.63	0.01
G&A Dues and Subscriptions	4,979.24	0.08
G&A Interest on Loans	97,367.34	1.51
Unallowable-Charitable Contrib	<u>5,404.00</u>	0.08
Total Expenses	<u>6,087,067.05</u>	94.22
Net Income	<u>\$ 373,719.32</u>	5.78



2.2.1 STABILITY AND FINANCIAL STRENGTH

To Whom It May Concern:

Software Engineering Services has had a business relationship with Great Western Bank since March of 1998. The relationship consists of deposit and loan accounts. The borrowing relationship was established in June 2012 and consists of a line of credit with a current commitment amount of \$3.5 million. The credit facility is scheduled to mature June 2017 and is secured with real estate and the business assets of the Company.

If you should have any questions, please contact me at (402) 952-6015.

Sincerely,

A handwritten signature in black ink, appearing to read 'Chris J. Wiedenfeld', is written over a light blue horizontal line.

Chris J. Wiedenfeld
Sr. Vice-President

2.2.2 JUDGEMENTS, LITIGATION AND FINANCIAL REVERSALS

SES is not involved in any litigation and has no judgments or liens assessed against it.

2.3 C - CHANGE OF OWNERSHIP

Software Engineering Services has had no change in ownership or control of the company in its history, nor is any anticipated during the twelve (12) months following the proposal due date.

2.4 D - OFFICE LOCATION

Software Engineering Services' location responsible for performance pursuant to an award of a contract with the State of Nebraska is:

Software Engineering Services 1311 Fort Crook Road, South Suite 100 Bellevue, NE



2.5 E - RELATIONSHIPS WITH THE STATE

Software Engineering Services has had no relationship with the State over the previous two (2) years. No contracts exist with the state.

2.6 F - BIDDER'S EMPLOYEE RELATIONS TO STATE

No party named in our proposal response is or was an employee of the State within the past twenty four (24) months.

No employee of any agency of the State of Nebraska is employed by SES as of the due date for proposal submission.

2.7 G - CONTRACT PERFORMANCE

Software Engineering Services declares that we have not had any contracts terminated for default during the past five (5) years.

Software Engineering Services declares that we have not had any contracts terminated for convenience, non-performance, non-allocation of funds, or any other reason.



2.8 H - SUMMARY OF BIDDER'S CORPORATE EXPERIENCE

Relevant Experience Table

*The asterisk identifies projects with expanded narratives, (all performed as the prime contractor with no subcontractors) following this table below.

Contract Project Name	Customer Name	Beginning Date (Month and Year)	Ending Date (Month and Year)	Description
*State of Minnesota IV&V HIX/EEX	State of Minnesota	01/2013	05/2016 + two 1 year extensions	Performs independent Verification and Validation services simultaneously for two separate projects: The HIX Implementation (MNsure) and the Eligibility and Enrollment modernization project. To date, the SES IV&V Team has completed ten (10) assessment visits on this project: an initial assessment of the HIX and EEX projects, and nine (9) quarterly assessments of the HIX and EEX projects.
*State of Texas Medicaid IV&V Project	State of Texas	12/2006	PRESENT (re-awarded 2 nd 5-yr Contract)	Performs complex evaluations and technical reviews for specified computer systems, interfaces and processing functions of the Texas Medicaid Management Information System (TMMIS). Provides IV&V and project management for its most complex and critical IT projects and enhancements ranging in cost from \$5M to \$45M.
Contract Project	Customer Name	Beginning Date	Ending Date	Description



Name		(Month and Year)	(Month and Year)	
*Florida Child Support Enforcement IV&V Project	State of Florida	04/2008	06/2012	Selected over the incumbent to provide oversight and monitor and review all project deliverables for the state-of-the-art SAP & Oracle based Child Support Enforcement system (targeted at that time as the most leading edge CSE system in the industry). Due to our work on this project, SES was highlighted by Child Support Federal Government as only one of five companies in the US to understand and be in compliance with Federal IV&V standards.
Kansas Eligibility and Enrollment System (KEES) Project IV&V	Kansas Department of Health and Environment (KDHE) - Division of Health Care Finance (DHCF)	02/2012	PRESENT	Performs scheduled IV&V, including reviews of project management and other plans (change management, configuration management, testing, quality management, training, implementation, operations management, COOP, etc.), requirements management, software development (includes requirements, design, interface), technical documents (environments, security & privacy, reusability, backup & disaster recovery), quality assurance audits, testing results (system, integration, & UAT), training, reports, implementation readiness review, operations oversight, and risk assessments.
Alabama MMIS IV&V & UAT	Alabama Medicaid Agency	08/2006	12/2012	Provided IV&V Oversight and UAT assistance AL MMIS and Eligibility System replacement/upgrade of HP's InterChange MMIS and in-house Eligibility System. Also provided SES also provides MITA, CMS MMIS Certification, ICD-10, and HIPAA5010 services. Oversight for all DDI phases including MMIS certification. Established and reported on IV&V metrics.
Contract Project	Customer Name	Beginning Date	Ending Date	Description



Name		(Month and Year)	(Month and Year)	
Kansas MMIS IV&V	KS Dept. of Health and Environment (KDHE) Div. of Health Care Finance (DHCF)	08/2015	PRESENT	Perform assessments of project status on a monthly basis. Quarterly assessments are also required. Reports on the assessment of overall project "health" and key findings to the ECITO and the Secretary of KDHE. Interviews with Executive Sponsors, project management, other project team members, agency personnel and the Systems Integrator. Review of project documentation including project schedules and updates, status reports, decision documents, deliverables, change logs, risk assessments, etc.
New Mexico Health Insurance Exchange (NMHIX) - IV&V Services	NM Health Insurance Exchange	2/2014	01/2015	Assessment of NMHIX's implementation effort with particular focus in the following areas: Project governance, C) Technical conformance of the IT solution with the project requirements Quality of implementation planning for the HIX, with particular emphasis on ensuring that NMHIX and its IT vendors are performing the requisite quality assurance tasks to achieve CCIO certification; Feasibility of the project schedule, in light of project constraints, the need to integrate contractor managed activities and NMHIX managed activities, and the established timelines for the delivery of the system.

Table 1: Recent IV&V Experience



***State of Minnesota IV&V HIX/EEX**

Contract/Project Name	Customer	Period of Performance	Point of Contact	Title	Contact
State of Minnesota IV&V HIX/EEX **Prime and only contractor	State of Minnesota	01/2013 – 05/2016 + two 1 year extensions	Beth Hanson,	Contracting Officer	Phone: (651) 431-3181 Fax (651) 431-7480 Email: beth.s.hanson@state.mn.us

Scope of Work with Similarities

As the IV&V contractor for the State of Minnesota's HIX/EEX project(s), Software Engineering Services (SES) performs independent Verification and Validation services simultaneously for two separate projects: The HIX Implementation (MNSure) and the Eligibility and Enrollment modernization project.

To date, the SES IV&V Team has completed ten (10) assessment visits on this project: an initial assessment of the HIX and EEX projects, and nine (9) quarterly assessments of the HIX and EEX projects. The SES IV&V Team carefully assesses and evaluates the project environment in order to fulfill IV&V responsibilities required for the development and publication of assessments of the plans and work performed by the State of Minnesota, the Systems Integration (SI) and DDI Contractor.

As IV&V vendor, Software Engineering Services (SES) has performed the following tasks:

- o IV&V Project Management Activities - Within 30 days of contract start: IV&V Project Management Plan, IV&V Project Schedule, IV&V Checklists for 11 Oversight Areas, Templates - Reports (Monthly & Quarterly), IV&V Findings, Risk Register
- o Conducted Initial IV&V Review - Within 60 days of contract start: Conducted Review, Submitted Draft and Final Reports, Conducted De-briefing to State and Federal Stakeholders
- o Conducted Quarterly IV&V Review: On-site and Remote reviews, Submitted Draft and Final Reports, Conducted De-briefing to State and Federal Stakeholders
- o IV&V Attestation to Comply with CMS Testing requirements

The SES IV&V Team submits their reports at the same time to Federal oversight agencies, the State CIO, and the IV&V Contract Manager. Following submission of final quarterly reports, the SES IV&V Team provides debriefing to Department, Agency, Project, and pre-determined federal agencies within 5 days.

The MN HIX/EEX IV&V task assessment parallels the major project phases and associated activities that impact project success. For each of these major areas of focus, there has been and will be an assessment followed by periodic progress assessments and/or milestone assessments as appropriate. For each initial, progress, or milestone assessment, there will be a corresponding follow-up assessment to evaluate the State of MN and SI contractor's adjustments as a result of IV&V recommendations.

For each assessment, SES produces a corresponding written report according to an agreed upon template. Upon request, SES conducts formal debriefing presentations of the assessment reports with an emphasis on recommendations, risks, issues, and concerns, and upon the evaluation of relevant SI or OCM deliverables and those deliverables required by CMS as part of the CMS ELC Gate Review process. The findings from these assessments, along with recommendations for remediation, will be presented to the key Project stakeholders, including SI/OCM contractor executives with required timeframes regarding mitigation and implementation recommendations during the monthly briefing. The types of assessments required are: QA/IV&V Initial Assessments, Progress Assessments, Milestone Assessments, Response Action Plans, Follow-up Assessments



***State of Texas Medicaid IV&V Project**

Contract/Project Name	Customer	Period of Performance	Point of Contact	Title	Contact
State of Texas Medicaid IV&V Project **Prime and only contractor	State of Texas	12/2006 – PRESENT	Kimberly Royal	State Project Manager	Phone: (512) 462-6318 Fax: (512) 730-7452 Email: Kimberly.Kellum-Royal@hhsc.state.tx.us

Scope of Work with Similarities

The Texas Independent Verification and Validation (IV&V) Team performs complex evaluations and technical reviews for specified computer systems, interfaces and processing functions of the Texas Medicaid Management Information System (TMMIS). The TMMIS services are provided by the Texas Medicaid Claims/Primary Care Case Management (PCCM) Administrator vendor working under the name of Texas Medicaid and Healthcare Partnership (TMHP).

Duties being performed for the State of Texas include providing IV&V and project management for its most complex and critical IT projects and enhancements ranging in cost from \$5M to \$45M. Our team of IT professionals handles multiple projects throughout the year depending on TX HHSC client stakeholders' needs.

Through a series of deliverables, the IV&V supports TX HHSC in bringing industry best practices and process improvement recommendations. Also, through participation in the Software Development Life Cycle (SDLC), IV&V provides an additional layer of independent analytical reviews of requirements, processes, project deliverables, software quality, risks and issues identification, and project management best practices.

This project is currently ongoing.



***Florida Child Support Enforcement IV&V Project**

Contract/Project Name	Customer	Period of Performance	Point of Contact	Title	Contact
Florida Child Support Enforcement IV&V Project **Prime and only contractor	State of Florida	04/2008 – 06/2012	Steve Updike	Contract Manager	Phone: (850) 617-8042 Fax: (850) 488-7112 Email: Updikes@dor.state.fl.us

Scope of Work with Similarities

Software Engineering Services (SES) was selected over the incumbent as the IV&V vendor for the State of Florida's CAMS Phase II (Child Support Enforcement Automated Management System) project. During this 4-year effort, the SES IV&V Team's scope of work was to provide oversight and monitor and review all project deliverables for the state-of-the-art SAP & Oracle based Child Support Enforcement system (targeted at that time as the most leading edge CSE system in the industry). Due to our work on this project, SES was highlighted by Child Support Federal Government as only one of five companies in the US to understand and be in compliance with Federal IV&V standards.

The SES IV&V Team provided advanced software and hardware oversight, management, and transition support as the IV&V contractor overseeing State PMO and QA Contractors. SES used a blend of industry standard methods to ensure project success including CMMI processes, IEEE standards, and PMBOK integrated checklists. The SES IV&V Team created a rolling 6-month project management plan (PMP) that included a work plan with all tasks, deliverables, staff resources, durations and anticipated start and end dates for project tasks for the Florida Department of Revenue.

The SES IV&V Team maintained a task accomplishment plan (TAP) that was delivered quarterly and was both retrospective in documenting accomplishments for the previous three months, and prospective in describing anticipated, planned efforts for the project for the following three months. Both the business plan and TAP ensured that the IV&V Team managed the schedule appropriately for the project.

The SES IV&V Team monitored and reviewed processes, products, and documentation for the project through the entire SDLC via a systems requirements traceability plan. Testing was also performed by the SES IV&V team to determine the adequate level of system performance, and ensure that hardware is maintainable, consistent, easily upgradable, and compatible with current systems. Our team attended JAD sessions, system meetings, conducted project interviews, and observed project management staff, including all subcontractors, in order to assess project adherence to the plan and state objectives.

Formal software and hardware oversight and IV&V assessments were performed throughout the SDLC. During assessment, all metrics were gathered, and findings were documented in Monthly and Quarterly Assessment Reports. The SES IV&V Team managed risk through the Project Risk Management Plan.

The Florida CAMS II project was successfully closed out in June of 2012.

2.9 H - SUMMARY OF BIDDER'S PROPOSED PERSONNEL/MANAGEMENT APPROACH

We have designed the IV&V organizational team with dedicated resources for the EES and DMA projects, respectively; these teams are staffed according to our understanding of the scope of work of each project; each core team meets the requirements for key positions. An integral part of our personnel management is the two (2) staff pools to enhance our dedicated core on-site teams. Together we are confident that DHHS will receive added value and staff performance:

1. Real experts in specific subject matter areas that NE MMIS needs to provide in-depth assessment and oversight.
2. SES Corporate specialists to support the IV&V effort.

The concept diagram immediately below lays out our overall approach to staffing.

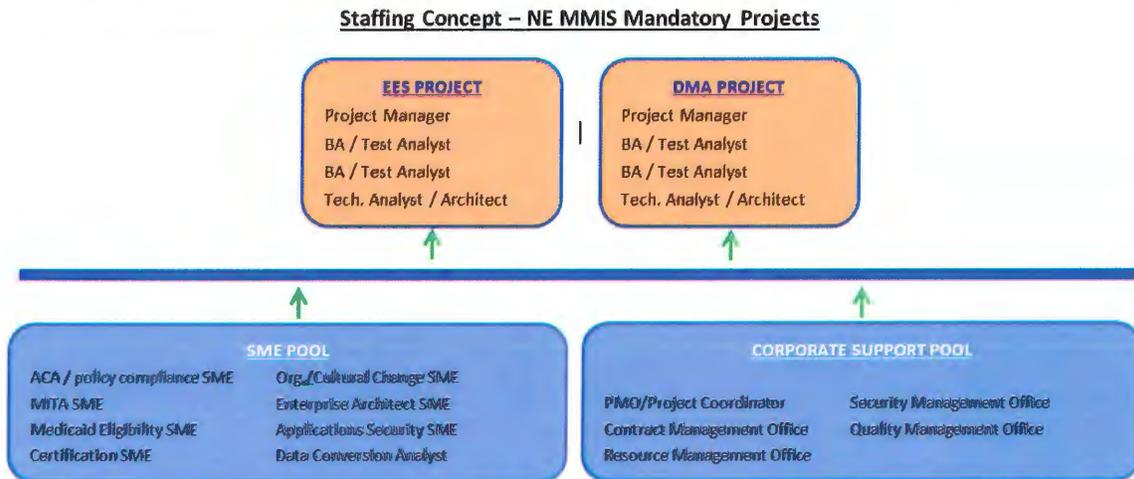


Figure 1: Personnel/Staffing Management Concept



2.9.1 PROPOSED PERSONNEL

The following table represents the specific SES professionals who will work on this NE MMIS IV&V project. The assigned oversight work provides a macro view of primary oversight assignments for each IV&V staff; in reality, each team member provides secondary support to many Task Areas.

NAME	IV&V STAFF/TITLE	INTERFACE AND SUPPORT FUNCTIONS	REPORTING RELATIONSHIP	PRIMARY OVERSIGHT WORK
Christine Beckley	EES IV&V PM	Governance Meeting (EES and DHHS Directors/PMs) Deliverable submission (per EES governance model) Project Management Team Meeting (EES PM, Vendor PMs) Schedule/Rolling Wave meetings (Vendor PMs/PMOs) Status meetings - IV&V Status Reporting (per EES governance model) CMS Certification Milestone Reviews (CMS, EES, Vendors) Staffing and personnel approvals and coordination (DHHS)	SES Project Management Office, State of Nebraska Project Manager/Contract Manager	Project Management
Karen Barnett Kendra Laffey	EES IV&V BA/ Test Analysts	Technical Meetings (EES BA's, Vendor DDI teams) Interviews (EES and Vendor team members) Observe testing and demonstrations (Vendor DDI and QA) CMS Certification Milestone Reviews (CMS, EES, Vendors)	EES IV&V PM	Technical Architecture, Development and Test
Mark Ray	EES IV&V Tech Analyst/Architect	Technical Meetings (EES and Vendor DDI teams) Interviews (EES and Vendor team members) CMS Certification Milestone Reviews (CMS, EES, Vendors)	EES IV&V PM	Technical Architecture, Development and Test, Compliance and Certification
Renee LaRosa	EES SME Pool	Technical meetings and interviews as needed (EES/Vendor teams) CMS Cert. Milestone Reviews as needed	EES IV&V PM/DMA IV&V PM	MITA and Medicaid-Related Oversight



<p>Jack Wiggins</p> <p>Marilyn Chappelle</p> <p>Nina Terhaar</p> <p>Robert Weise</p>		(CMS, EES, DHHS, Vendors)		Policy and Regulations
Norman Mandy	DMA IV&V PM	<p>Governance Meeting (DMA and DHHS Directors/PMs)</p> <p>Deliverable submission (per DMA governance model)</p> <p>Project Management Team Meeting (DMA PM, Vendor PMs)</p> <p>Schedule/Rolling Wave meetings (Vendor PMs/PMOs)</p> <p>Status meetings - IV&V Status Reporting (per DMA governance model)</p> <p>CMS Certification Milestone Reviews (CMS, DMA, Vendors)</p> <p>Staffing and personnel approvals and coordination (DHHS)</p>	SES Project Management Office	Project Management
<p>Naquisha Smith</p> <p>Brittany Bridges</p>	DMA IV&V BA/ Test Analysts	<p>Technical Meetings (DMA BA's, Vendor DDI teams)</p> <p>Interviews (DMA and Vendor team members)</p> <p>Observe testing and demonstrations (Vendor DDI and QA)</p> <p>CMS Certification Milestone Reviews (CMS, DMA, Vendors)</p>	DMA IV&V PM	Technical Architecture, Development and Test
<p>Nina Terhaar</p> <p>Robert Weise</p>	DMA IV&V Tech Analyst/Architect	<p>Technical Meetings (DMA and Vendor DDI teams)</p> <p>Interviews (DMA and Vendor team members)</p> <p>CMS Certification Milestone Reviews (CMS, DMA, Vendors)</p>	DMA IV&V PM	Technical Architecture, Development and Test, Compliance and Certification



Renee LaRosa Jack Wiggins Marilyn Chappelle	DMA SME Pool	Technical meetings and interviews as needed (DMA/Vendor teams) CMS Cert. Milestone Reviews as needed (CMS, DMA, Vendors)	DMA IV&V PM/EES IV&V PM	MITA and Medicaid-Related Oversight Policy and Regulations
Kathleen Exon Dr. Raj, Sharma Alicia Caldwell	SES Corporate Pool	Schedule/Rolling Wave Meetings (Vendor PMs/PMOs) Communicate/coordinate IV&V involvement On-Demand contract, resource and executive request/concern CMS Cert. Milestone Reviews as needed (CMS, DMA, Vendors) Staffing and personnel approvals and coordination, if needed (DHHS)	SES President and CEO	Project Management Contract Management Quality Management Resource Management

Table 2: Proposed SES NE MMIS IV&V Staff



Below are two (2) organizational charts for the DMA and EES projects, respectively. SES will ensure these charts are kept up-to-date throughout the respective projects.

Our organizational charts also communicate a broad view of key stakeholders with whom each project interacts; further below we present specific details of the types of communications that occur between each IV&V Key Staff position and staff pools.

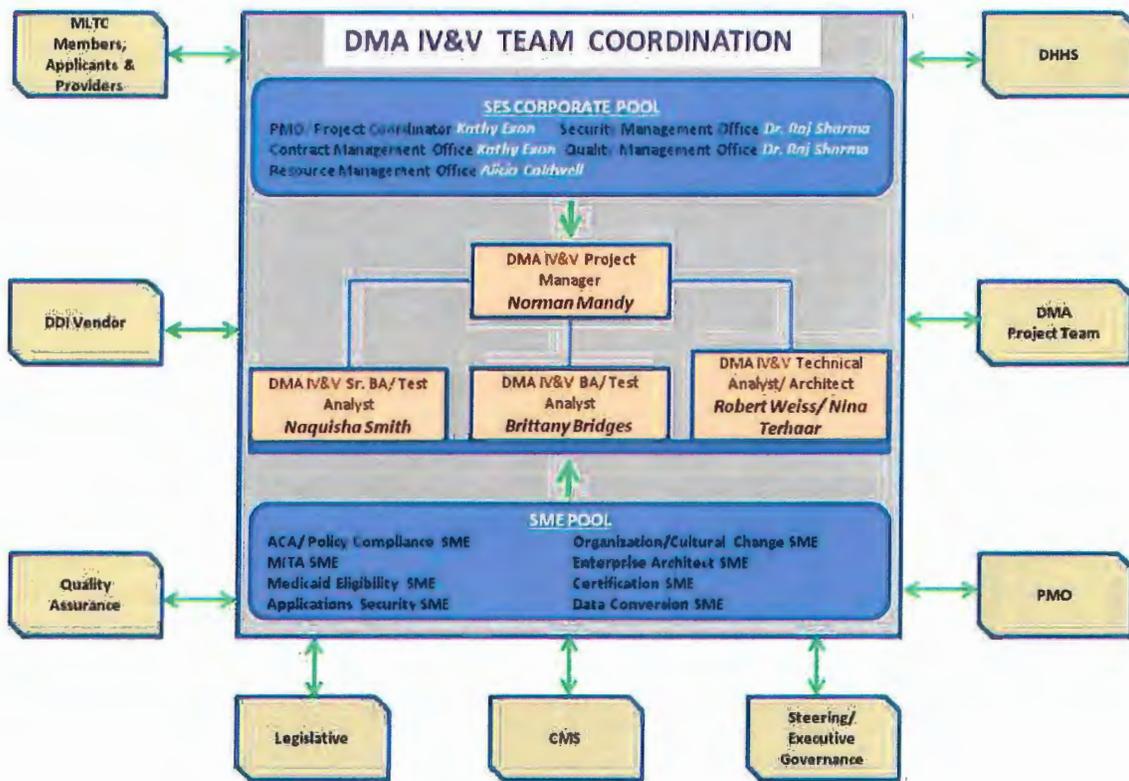


Figure 2: DMA IV&V Team

Key DMA staff approval will be inherent upon contract award, which includes the named staff provided in this proposal.

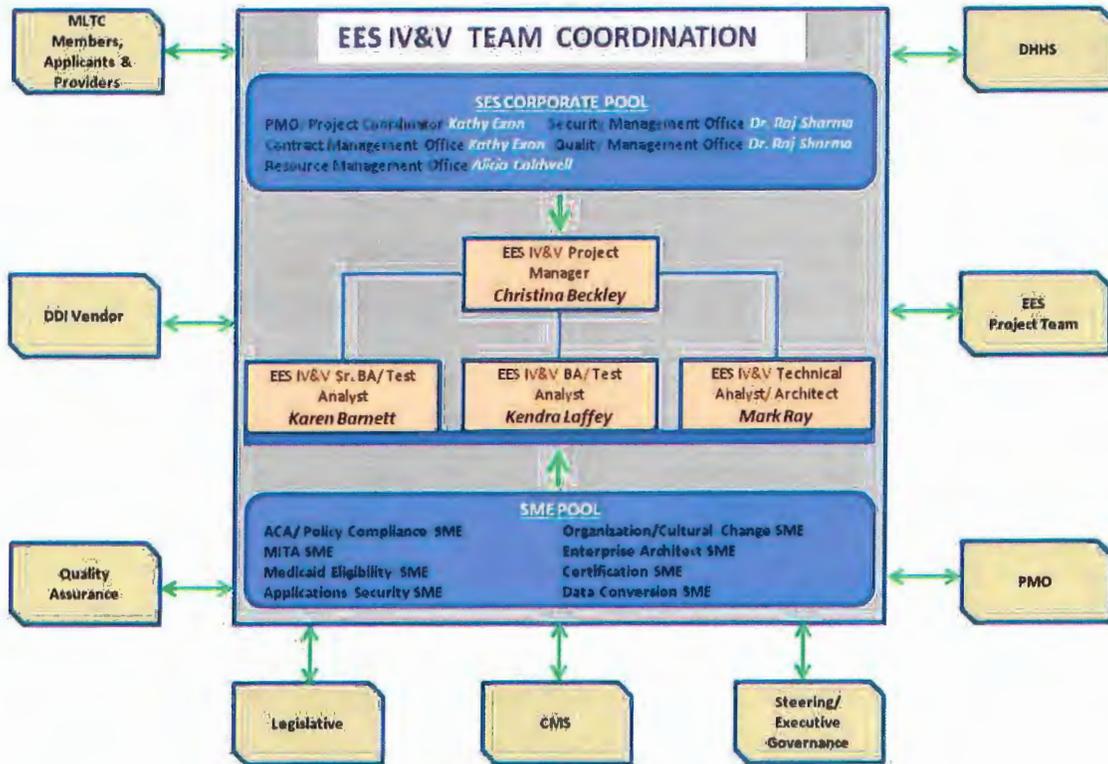


Figure 3: EES IV&V Team

Key EES staff approval will be inherent upon contract award, which includes the named staff provided in this proposal.

CHRISTINE BECKLEY, PMP

SUMMARY UNDERSTANDING OF PROCESS	Over 25+ years of project management and technical support in Medicaid and other healthcare administration and implementation. Experience includes but is not limited to management of Medicaid fiscal agent operation responsible for high volume medical claims processing, MMIS, Eligibility & Enrollment, ICD-10 conversion, UAT, provider relations, provider enrollment, field services, document services, and client management. Thorough understanding of government and private carrier health care programs. Academic and practical knowledge of compliance issues and the affect changes in regulation and reimbursement methodology have on health care delivery system. Application configuration, requirements gathering and implementation, and project management. Knowledgeable of processes and implementation of large healthcare systems and testing strategies for validation of business rules. Detailed working experience with several State Medicaid programs (DC, MS, and VA).
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DETAILED WORK EXPERIENCE

Noblis Healthcare Division

Project	ICD-10 Implementation, Falls Church, Virginia	2015 - 2016
Role/Job Title	State Medicaid Advisor	
Responsibilities / Tasks	<ul style="list-style-type: none"> • Monitor and support State Medicaid Agencies with ICD-10 implementation • Interact with states to determine testing status and results of testing • Prepare reports for CMS detailing State Medicaid ICD-10 readiness and implementation support activities • Complete state specific and consolidated dashboards highlighting progress, risks, and related ICD-10 activities • Contribute to post implementation planning Medicaid programs 	

Accenture

Project	Multiple, Atlanta, GA	2010 – 2015
Role/Job Title	Service Management Senior Manager, Business Architect, Business Process Outsourcing Solution Architect, and Outsourcing Account Delivery Manager	
Responsibilities / Tasks	<p>Service Management Senior Manager (January 2015 – May 2015)</p> <ul style="list-style-type: none"> • Provided solutions to complex business problems for area(s) of responsibility where analysis of situations requires an in depth knowledge of organizational objectives • Interacted with senior management levels at a client and/or within Accenture, which involves negotiating or influencing on significant matters <p>Business Architect (May 2013 – December 2014)</p> <ul style="list-style-type: none"> • Provided benefit plan structure and business process subject matter knowledge to product team • Advised stakeholders on structure of business models that may be effectively enabled through business technology; conducted user acceptance testing (UAT) • Provided project management and leadership for transition work stream for Texas Medicaid project, May 2014 – August 2014 (Long Term Care Operations, Managed Care Operations, Claims Operations, Medically Needy Program) • Provided post-transition leadership support and mentoring for Texas Medicaid project, September 2014 (Claims & Reference File Operations) <p>Business Process Outsourcing Solution Architect (September 2012 – April 2013)</p> <ul style="list-style-type: none"> • Managed internal and external relationships for the designated solution • Drove the necessary sign-off of the solution with proper input from operating groups on client business objectives, industry, risk assessment, and budget 	



	<ul style="list-style-type: none"> Interfaced with the delivery organization to ensure effective transition, shape services, collaborate on clear solution assumptions, <p>Outsourcing Account Delivery Manager (October 2010 – August 2012)</p> <ul style="list-style-type: none"> Single POC for the client account senior executive and client Set and manage outsourcing contract service level agreements, acting as a delivery escalation point around client priorities and issues Managed outsourcing change orders, service quality, and recovery plans Achieve year-over-year efficiencies in conjunction with Service Delivery Operations
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ACS Government Healthcare Solutions

Project	DC Medicaid Management Information System (MMIS)	2001 – 2010
Role/Job Title	Sub-Contract Manager, DC MMIS Implementation Team, Project Manager, Claims Processing Manager, Provider Enrollment Supervisor, and Client Services Supervisor	
Responsibilities / Tasks	<p>Sub-Contract Manager, Washington, DC (April 2010 – October 2010)</p> <ul style="list-style-type: none"> Managed vendor subcontracts, Certified Business Enterprise (CBE) participation, and contractual staffing levels, as well monitored compliance Identified vendors, review service capabilities and cost for potential partnerships Supported operations on escalated issues by providing subject matter expertise on system functionality, operational process, and DC Medicaid business rules <p>DC MMIS Implementation Team, Washington, DC (August 2009 – April 2010)</p> <ul style="list-style-type: none"> Served as a subject matter expert (SME) for DC MMIS fiscal agent operational activities, the legacy system and new system implementation Assisted with system, unit, and acceptance testing Prepared test packets and deliverable in accordance with MS Project plan schedule <p>Deputy Account/Project Manager, Anchorage, AK (January 2009 – August 2009)</p> <ul style="list-style-type: none"> Assisted in the overall management of 86-member fiscal agent operations staff with oversight of Claims Processing, Provider Services, Surveillance and Utilization Review, and Medical Review to ensure adherence to performance standards and contract compliance; Served as a senior management customer interface Analyzed, developed, and implemented administrative and/or process control procedures that improve effectiveness and efficiency of project operation <p>Deputy Account/Project Manager, Washington, DC (March 2005 – January 2009)</p> <ul style="list-style-type: none"> Assisted in providing management of 35-member fiscal agent operations staff with oversight of Claims Processing, Provider Relations, and Drug Rebate Departments to ensure performance standards were met and project standards were adhered to Analyzed, developed, and implemented administrative and/or process control procedures that improved effectiveness and efficiency of project operation. Monitored maintenance agreements, cost allocations and service level agreements Corporate responsibilities included: profit and loss accountability, resource allocation, problem resolution, and budgetary efforts Provided project management within the Claims unit for the development of business rules, modification of operational procedures, and associated testing for the implementation of optical character recognition in the claims process <p>Claims Processing Manager, Ridgeland, MS (July 2002 – March 2005)</p> <ul style="list-style-type: none"> Managed a 52-member claims processing staff responsible for document receipt, document imaging and retrieval, data entry, resolution, and adjustment processing Guided unit through successful CMS system certification review 	



	<ul style="list-style-type: none"> Coordinated efforts with Claims unit for the development of business rules, modification of operational procedures, and associated testing for the implementation of optical character recognition in the claims process <p>Provider Enrollment Supervisor, Ridgeland, MS (Oct 2001 – July 2002)</p> <ul style="list-style-type: none"> Supervised staff responsible for assisting provider community with all facets of the Mississippi Medicaid enrollment process; documented enrollment functions providing a baseline for rewrite and drafting of comprehensive procedure manual Strengthened reputation of Provider Enrollment department by providing timely and accurate response to client and provider inquiries Coached professional field staff charged with educating community agencies and the beneficiary population regarding benefits available under the HealthMACS, primary care case management program; developed guidelines for managed care education Implemented community outreach strategies for beneficiary education
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EDUCATION/TRAINING

<ul style="list-style-type: none"> MA, Management, Bellevue University, Bellevue, Nebraska, 1997 BS, Business Administration, Bellevue University, Bellevue, Nebraska, 1995 ScD (ABD), Health Systems Management, Tulane University, New Orleans, Louisiana, 2002 Certified Professional in Health Information Technology, Health IT Certification, Seattle, WA, Jan. 2014 Certified Medical Reimbursement Specialist (CMRS), American Medical Billing Association, Feb. 2007 Project Management Professional (PMP), Project Management Institute, Pittsburgh, PA, Aug. 2005

REFERENCE #1	REFERENCE # 2	REFERENCE # 3
Patricia J Squires	Gay Munyon	Eula Payne
Government of the District of Columbia	Florida Agency for Health Care Administration	Cognizant
Deputy Director Health Care Operations	Chief of Medicaid Contract Management	Registered Health Information Administrator
Patricia.squires@dc.gov	paulandgay@comcast.net	ehpayne@cox.net
609 H Street NE Suite 233 Washington, DC 20002 (202) 698-1705	3037 Shamrock Street, North Tallahassee, FL 32309 (850) 570-4372	13600 South Springs Court Clifton, VA 20124 (703) 409-5343

KAREN BARNETT

SES Business Analyst/Test Analyst

SUMMARY UNDERSTANDING OF PROCESS	<p>Over 20 years of Information Technology (IT) consulting experience as a Senior Business Analyst focused on business process engineering. Extremely strong business and analysis skills in performing independent verification and validation (IV&V) on project documentation including system design specifications and functional specifications. Professional experience encompasses the full project life cycle from project inception to project closure, including conducting feasibility studies and solution comparisons, gathering requirements, charting the flow of business processes, diagramming system interfaces, implementing performance measures, and performing business transformation.</p> <p>Adept at performing independent verification and validation (IV&V) on system requirements, functional specifications, system design specifications, test documentation including test strategy, test plans, and test scripts, test results, and</p>
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	<p>general project documentation for Medicaid and Child Support Enforcement. Extensive experience in workflow analysis, including development of workflow process maps, workflow methods, operational procedures, and coordinating system interfaces for Medicaid.</p> <ul style="list-style-type: none"> • Senior Business Consultant in a number of foreign countries associated with launching start-up companies in the communications industry. Experience ranged from inception through all stages of development up to launch. • Primary areas of expertise include: Independent Verification & Validation (IV&V), Systems Analysis, Workflow Business Processes; Facilitation; Interface Coordination; Network Management; Testing; Communications; Measuring Performance, Balanced Scorecard, and Feasibility Studies. • Performed IV&V on project documentation and oversight for MMIS systems enhancements and federal mandates for Missouri HealthNet Division • Performed IV&V on project documentation and oversight for an SAP Installation for Florida Child Support Enforcement, reporting to the Federal Office of Child Support Enforcement (OCSE) • Performed IV&V on project documentation submitted by 9 vendors on the Iowa Medicaid project • Performed IV&V on project documentation submitted by multiple vendors on a long distance and cellular project in Switzerland • Gathered requirements for 4 system enhancements for Alabama Medicaid • Created 45 Medicaid workflow process maps for Iowa Medicaid • Created 48 Medicaid workflow process maps for Ohio Health Plans • Created a systems interface drawing with 211 interfaces for Iowa Medicaid • Coordinated 50 system interfaces for a long distance & cellular project • Implemented the Balanced Scorecard Methodology with over 400 performance measurements for Iowa Medicaid
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DETAILED WORK EXPERIENCE

Independent Contractor with Cognosante

Contract / Project	MMIS and IV&V	2012 -2016
Role/Job Title	Senior IV&V Analyst	
Responsibilities / Tasks	A key member of the Cognosante IV&V Team responsible for monitoring the MMIS system enhancement projects and federal mandates for the Missouri HealthNet Division. Responsibilities include performing independent verification and validation on project artifacts and deliverables and providing comments to ensure completeness, accuracy, timelines, alignment with project needs, and conformance with generally-accepted industry best practices and standards. Conducting process evaluations to assess the process and effectiveness. Attending key project meetings; participating in identifying project risks, issues, and potential barriers; assessing project readiness for entrance into or exit from project phases; and identifying and documenting IV&V project issues as well as providing input into the weekly project assessment report.	

Independent Contractor with Software Engineering Services

Contract / Project	AL MMIS	2012
Role/Job Title	Senior Business Analyst	
Responsibilities / Tasks	A member of the MMIS Coordination Team for Alabama Medicaid . Responsibilities include working as a team member to implement enhancements to the InterChange System and supporting systems to meet the needs of the functional areas and to implement Federal Mandates. Created "As Is" and "To Be" Business Process Maps, led requirements gathering sessions, produced detailed meeting minutes, captured and tracked Action Items, and worked with the functional leads to identify ways to	



	automate the business processes.
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Independent Contractor with Software Engineering Services

Contract / Project	Florida Child Support Enforcement Project IV&V	2008 – 2012
Role/Job Title	IV&V Analyst	
Responsibilities / Tasks	Development Oversight Lead on the IV&V Team for the Florida Child Support Enforcement Project. Created a 5-Year Project Management Plan; performed IV&V on project documents that included system requirements, functional specifications, requirements traceability, interface definitions, development guidelines and conventions, rollout strategy, test plans, and training. Attended an average of 50 project meetings per month and created a meeting worksheet for each meeting. Documented findings, conducted interviews, conducted process evaluations, and answered questions in the Development Oversight Checklist for assessing the process and effectiveness. Participated in the preparation of the Quarterly Comprehensive Review Report and Interim Report; and attended quarterly meetings with representatives from the Federal Office of Child Support Enforcement (OCSE).	

Independent Contractor with First Data Government Solutions

Contract / Project	OH HealthPlan Medicaid	2007 - 2008
Role/Job Title	Senior Business Process Analyst	
Responsibilities / Tasks	Successfully worked as a member of the Business Transformation Team on the Medicaid project for Ohio Health Plans to assist State staff in accepting a suite of new technology to perform their day-to-day activities. Responsibilities included conducting interviews with Bureaus; created 48 as is workflow process maps; worked with State staff to identify organizational change opportunities using new technology; Participated in creating the Business Transformation Plan.	

Independent Contractor with Software Engineering Services

Contract / Project	IA Medicaid Enterprise	2004 – 2006
Role/Job Title	Senior Business Process Analyst	
Responsibilities / Tasks	A key member of a team of consultants on the Iowa Medicaid Enterprise project that migrated Medicaid claims processing from an outsourced fiscal agent to nine vendors, successfully created 45 workflow process maps using Visio, created a system interface drawing with 211 interfaces, performed IV&V on workflow design specifications for OnBase, workflow test cases, and a test plan, implemented the balanced scorecard with over 400 performance measurements.	

EDUCATION/TRAINING

Bachelor of Science in Human Development, UC Davis, 1994

REFERENCE #1	REFERENCE # 2	REFERENCE # 3
Carol Oakes	Tisha McGowan	Carolyn G. Thompkins
Self-Employed	Missouri HealthNet	Software Engineering Services
Medicaid Expert	Project Manager	Program Director
Coakes42@live.ocm	Tisha.a.mcgowan@dss.mo.gov	cgthompkins@hotmail.com
P.O. Box 470190 Aurora, Colorado 80047	Howerton Building 615 Howerton Court Jefferson City, MO 65109	3304 Lemoyne Court, Tallahassee, Florida 32312
(303) 306-7301	(573) 522-4294	(850) 322-4420



KENDRA LAFFEY

SES Business Analyst/Test Analyst

SUMMARY UNDERSTANDING OF PROCESS	Progressive analytical skills, with over 17 years of Information Technology experience supporting commercial health insurance systems. In depth knowledge of collaboration between IT systems and business processes. Proven success in the following areas: Business process analysis, implementation management, project management methodologies (Waterfall and Agile), large volume data analysis, systems interface management, and varied phases of testing (end-to-end, system integration, user acceptance).
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DETAILED WORK EXPERIENCE

Hewlett-Packard (HP)

Contract / Project	Wellmark Blue Cross and Blue Shield of Iowa	1997 - 2015
Role/Job Title	Business Systems Analyst III, Systems Engineer, Systems Engineer: Technical Associate	
Responsibilities / Tasks	<p>Business Systems Analyst III (2006-2015):</p> <ul style="list-style-type: none"> Served as Lead Business Systems Analyst and/or Testing Manager on over 100 claims, eligibility, and provider systems modification efforts, many of which were complex renovations of business processes and system functionality. Performed as Lead Business Systems Analyst on large-scale mainframe modernization project, whereby a legacy provider system was retired and migrated to a web based portal. Functioned as Lead Business Systems Analyst on BlueCard/Inter-Plan Teleprocessing Services (ITS) releases 14.0 and 15.0; served as supporting Business Systems Analyst and/or Test Analyst on several preceding releases. Served as claims and eligibility subject matter expert for pharmacy related processing. Including, the migration of approximately 1.8 million members to a third-party Pharmacy Benefit Manager (PBM). Developed advanced analytical skills, while acquiring comprehensive commercial health insurance knowledge, including third party system interface expertise. [i.e. Centers for Medicare & Medicaid Services (CMS), multiple pharmacy benefit managers, BlueCard/Inter-Plan Teleprocessing Services (ITS), and Electronic Data Interchange (EDI)]. Extensive testing experience, including the creation and execution of test scripts and test plans, as well as managing all phases of testing. Followed system development lifecycle processes and methodologies while identifying system solutions and improvements. Collaborated with business stakeholders to elicit, develop, and document detailed business requirements, while also performing analysis of business processes and system functionality. Evaluated system enhancements to ensure compliancy with business processes; information technology infrastructure; and, industry trends and regulations (including, Healthcare Reform mandates). Created and presented training documentation and presentations related to system changes and business process enhancements. Responsible for screening, mentoring and supervising team of Business Analysts based in India. <p>System Engineer (2000-2006):</p> <ul style="list-style-type: none"> Performed dual role as Business Analyst/System Engineer. Applied in-depth knowledge of system architecture to identify, design, program, test and implement mainframe system solutions. 	



	<ul style="list-style-type: none"> • Monitored system performance, including problem identification and resolution. • System Engineer: Technical Associate (1997-2000) • Served on Y2K conversion project focused on upgrading claims, eligibility and provider systems to ensure successful processing of dates beyond 12/31/1999. • Identified, analyzed, tested, and implemented Y2K conversion changes for numerous mainframe systems and vendor interfaces. • Successfully completed System Engineer "boot camp" training. Course emphasis was on COBOL II. Additional areas of focus included: JCL, SQL, DB2, IBM utilities, structured design, and testing concepts.
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JKAR Cattle

Contract / Project	Family Owned Business	2014 - Current
Role/Job Title	Farm Production Manager	
Responsibilities / Tasks	<ul style="list-style-type: none"> • Manage all aspects of registered cow-calf operation, including animal health, nutrition, breeding (natural and artificial), and rotational grazing system. • Monitor and maintain herd health, including administration of vaccinations and diagnosis and treatment of ailments. • Ongoing analysis, design, and execution of marketing program related to the sale of heifer and bull calves and the purchasing of genetically desirable replacement heifers and bulls. • Management of show animals (beef and swine), including intensive nutrition analysis and monitoring in correlation to animal growth and development. 	

EDUCATION/TRAINING

B.S., Business Management and Marketing - Northwest Missouri State University, Maryville, Missouri

REFERENCE #1	REFERENCE # 2	REFERENCE # 3
Shirley Gabert	Dina Looney	Darcie Sherwood
Hewlett-Packard (HP)	Hewlett-Packard (HP)	Wellmark Blue Cross & Blue Shield of Iowa
Project Manager IV	Business Systems Analyst IV	Business Analyst
Shirley.gabert@hp.com	dina.looney@hp.com	sherwood8357@gmail.com
1250 Camp Hill Bypass Camp Hill, PA 17011	5742 E. Dusty Coyote Circle Scottsdale, AZ 85266	15833 Kennedy St Indianola, IA 50125
(717)547-7871	(480)510-5070	(515)491-8356



MARK RAY

EES IV&V Tech Analyst/Architect

SUMMARY UNDERSTANDING OF PROCESS	<p>Over 25 years of Information Technology experience with expertise in I.T. Business Analysis/Business Intelligence and Application Programming and testing on the IBM Mainframe platform and Client/Server platform and Business/Technical Requirements Gathering. In addition, possess extensive experience in CMS (Center for Medicaid and Medicare Services) systems with emphasis on Healthcare Claims processing and adjudication on MMIS with exposure to the future MITA (Medicaid Information Technology Architecture) as outlined by CMS. Experience with ICD 9 to ICD 10 and EDI 4010 to EDI 5010 conversions. Also possess experience with the design of healthcare based mobile apps and wireframes, ETL (Extract Transform and Load) processes which include data mapping and pre/post converted data validation, requirements gathering and analysis, process improvement, SharePoint, Six Sigma, ISO 9000 as well as excellent documentation, presentation, interpersonal, and project management skills. California, Mississippi and Missouri MMS Claims processing technical support team. Experienced in development and testing in Agile environment.</p>
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DETAILED WORK EXPERIENCE

Anthem Blue Cross Blue Shield, Atlanta, GA

Contract / Project	Anthem Blue Cross Blue Shield, Atlanta, GA	Sept 2015–March 2016
Role/Job Title	Sr. Business Systems Analyst/Technical Architect	
Responsibilities / Tasks	<ul style="list-style-type: none"> • Lead analyst for Agile development and implementation of health records • Identify and develop user stories in JIRA/Confluence for requirements on the new release of the Mobile App • Review current state and future state wireframes with developers to ensure we are designing the correct Mobile App pages. • Work with developers to identify fields of data that will be sent from the Aggregation Layer API to the User Interface • Work on functionality dealing with mobile app registration, page labels, Forgot Username and Password, Provider Finder, and Pharmacy Finder. • Ensure future state process maps, system diagrams, and business rules are documented for the mobile app • Ensure user stories (with Test Scenarios) are documented and establish traceability, according to the approach defined by the Mobile App team 	

Anthem Blue Cross Blue Shield, Virginia Beach, VA

Contract / Project	Anthem Blue Cross Blue Shield, Virginia Beach, VA	Oct 2014 – June 2015
Role/Job Title	Migration Sr. Business Analyst (Remote/Telecommute)	
Responsibilities / Tasks	<p>Migration Business Analyst in support of the Claims Workgroup and Pharmacy workgroup for the California Medicaid Migration project.</p> <ul style="list-style-type: none"> • Identify and gather all current state documentation in preparation for Claims and Pharmacy workgroup's Requirements documentation • Ensure current state process maps and system diagrams, complete with inputs and outputs, are documented in preparation for Claims and Pharmacy work groups' Requirements documentation. • Ensure comprehensive Requirements (with Test Scenarios) are documented and establish traceability, to defined by the Migration Program • Provide Quality Assurance oversight to ensure teams establish traceability 	



	<ul style="list-style-type: none"> across all Requirements. Collaborate with Project Manager, Business Lead/SMEs and IT Lead/SMEs to understand and resolve any gaps in fulfilling Migration Requirement needs. Escalate as appropriate, lingering and/or critical barriers to the timely completion of Requirements, to include Test Case documentation
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Magellan Health Services, St. Louis, MO

Contract / Project	Magellan Health Services, St. Louis, MO	May 2014– Sept 2014
Role/Job Title	Sr. Technical Business/Data Analyst	
Responsibilities / Tasks	<ul style="list-style-type: none"> Sr. Technical Business Information Analyst in support of Business Intelligence Data Analysis for Behavioral Health and National Provider Profiling Performed SQL development and testing for data analysis of claims data in the Data Warehouse (Rapid SQL with an Oracle and Cognos interface) Provided data mapping documentation, business rules, and transformation rules to the development team for software design. Performed various claims data analysis for multiple level of care codes for data extracts to be used in SAS calculations Work with Development to clarify requirements for Informatica ETL processes Work with business groups to define and implement new processes in the Provider Profiling analysis. 	

Medical Transportation Management, Lake St. Louis, MO

Contract / Project	Medical Transportation Management, Lake St. Louis, MO	Jan 2014 – May 2014
Role/Job Title	Sr. Business Analyst	
Responsibilities / Tasks	<ul style="list-style-type: none"> Sr. Technical Business Information Analyst in support of the Ambulance transportation management Performed EDI X12 mapping of the 837P and 834 EDI transactions. The tool used was Liason Delta mapping software. Performed various claims data analysis and provided solutions for EDI claims that were rejected using 997 and 999 error reports Work with Development team to clarify requirements. Work with business groups to define and implement new edits in the adjudication process. 	

New Hampshire DHHS

Contract / Project	New Hampshire Medicaid (MMIS)	2012 - 2013
Role/Job Title	Sr. Business Analyst	
Responsibilities / Tasks	<ul style="list-style-type: none"> Sr. Technical Business Information Analyst in support of the New Hampshire Medicaid (MMIS) conversion project in an Agile Environment 	

CVS/Caremark, Dallas, TX

Contract / Project	Aetna	2011 - 2012
Role/Job Title	Sr. Business Analyst/Project Management	
Responsibilities / Tasks	<ul style="list-style-type: none"> Sr. Technical Business Information Analyst in support of the Aetna pharmacy conversion project 	

CIGNA

Contract / Project	Medicare/CMS	2010 - 2011
Role/Job Title	Sr. Business Analyst	
Responsibilities / Tasks	<ul style="list-style-type: none"> Sr. Technical Business Information Analyst in support of the Business Excellence team for a variety of projects that are associated with Medicare and CMS 	



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Molina Healthcare Corp

Contract / Project	Maine MMIS	2009 - 2010
Role/Job Title	Sr. Business Information Analyst/Project Management – Telecommute position	
Responsibilities / Tasks	<ul style="list-style-type: none"> Sr. Business Information Analyst in support of the ETL and Data conversion team for The Maine Medicaid Management Information System (MMIS) 	

Infocrossing Healthcare Services

Contract / Project	Missouri MMIS	2008 - 2009
Role/Job Title	Sr. Business Information Analyst/Project Manager	
Responsibilities / Tasks	<ul style="list-style-type: none"> Sr. Business Information Analyst in support of The Missouri MMIS 	

H.I.P-USA/Cross-USA

Contract / Project	Health Insurance Plan of NY	2006 - 2008
Role/Job Title	Asst. Lead Programmer Analyst/Sr. Business Analyst	
Responsibilities / Tasks	<ul style="list-style-type: none"> Served as a Sr. Programmer Analyst/ Sr. Business Analyst in support of the Claims Processing and Adjudication team for Health Insurance Plan of New York. 	

Lowe's Corp

Contract / Project	Corporate Payroll	2004 - 2006
Role/Job Title	Sr. Programmer/Business Analyst	
Responsibilities / Tasks	<ul style="list-style-type: none"> Serve as a Sr. Programmer/Business Analyst in support of the Corporate Payroll Maintenance Team 	

ACS State Healthcare

Contract / Project	Corporate Payroll	1995 - 2004
Role/Job Title	Sr. Programmer Analyst/Business Analyst	
Responsibilities / Tasks	<ul style="list-style-type: none"> Served as Sr Programmer Analyst in support of the Claims Processing and Adjudication for the MS MMIS; developed program support diagnosis codes, HIPAA codes, claim add provider types, etc Led various ELT project converting data from EDS formats to ACS format, translated data reqts 	

Lockheed Aeronautical Systems

Contract / Project	Corporate Payroll	1986 - 1994
Role/Job Title	Manufacturing Engineer	
Responsibilities / Tasks	<ul style="list-style-type: none"> Conducted system design and workflows, used Six Sigma techniques to assist with system analysis to determine efficient work flow operations 	



EDUCATION/TRAINING

<p>MMIS Certification – Jefferson City, Missouri – S2Tech Certified Medicaid Management Information Systems Professional, 2009 Certified Mainframe Computer Programmer, 1995 UNIVERSITY OF TENNESSEE, Knoxville, Tennessee Bachelor of Science in Industrial Engineering, 1986</p>

REFERENCE #1	REFERENCE # 2	REFERENCE # 3
Camillia Harris	Suneel Sah	Audrey Lynch
Anthem Blue Cross Blue Shield Supervisor	Infocrossing Healthcare Services Supervisor	Anthem Blue Cross Blue Shield Project Manager
camilliah@yahoo.com	suneelkshah@gmail.com	Audrey.Lynch@Anthem.com
3350 Peachtree Rd, Atlanta, GA 30326 404-488-4661	905 Weathered Rock Rd, Jefferson City, MO 65101 732-662-8028	277 Bendix Rd. Virginia Beach, VA 23452 303-957-6696



2.9.3 DMA RESUMES

NORMAN MANDY, PMP, SSBB

SES Project Manager

SUMMARY UNDERSTANDING OF PROCESS	<p>More than 30 years of project management, system analysis, system development, IV&V, QA, testing and process engineering applied to state and federal health care/HIX, CMS compliance, child support enforcement, vehicle license and registration. Last 11 years assigned to Healthcare IV&V projects – focus on Project Management, Technical and Testing Oversight Areas. Lead CMMI consultant with extensive experience in CMMI assessment and implementation within diverse environments and project life cycles including agile, waterfall, and proprietary internal automated tool-based management. In addition to leading Software Engineering Process Group and Metrics Analysis/Collection Team, Mr. Mandy has established several QA and Structured Peer Review functions responsible for technical integrity and validation of entire DDI activities and products. Detailed knowledge of PMBOK, CMMI, and IEEE compliant IV&V activities and deliverables.</p> <p>Key Accomplishments:</p> <ul style="list-style-type: none"> ▪ PM, successful \$60M military IS acquisition, 1993-1995 ▪ PM, state HIX IV&V testing ▪ CMMI-, CMS XLC, IEEE, PMBoK-compliant corporate/project processes ▪ PM, successful CMMI-ML3 appraisals, 2004-2015
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DETAILED WORK EXPERIENCE

Software Engineering Services

Contract / Project	Enterprise Projects	2004 - PRESENT
Role/Job Title	IV&V Auditor	
Responsibilities / Tasks	<p>Established and oversaw large project quality assurance and best practice management. Expert in planning, risk, configuration, communication, measurement & analysis, testing, test plans, piloting, implementation. Chairperson, process management group/ software engineering process group (PMG/SEPG).</p> <p>Performed Quality Assurance and testing activities for multiple projects. Supervised testing activities for internal and cross-organizational groups. Designed, developed, and performed Quality Audits. Provided IV&V and other quality assurance, technical documentation, and programming support to the Air Force Weather Agency.</p> <p>Led and managed 4 successful SCAMPI-A appraisals. Developed CMMI work-flow based product (CMMI-compliant enabling tool).</p>	
Contract / Project	State of New Mexico Health Insurance Exchange	2014 - 2014
Role/Job Title	Senior IV&V Auditor	
Responsibilities / Tasks	Full-time, 11-month effort as Senior Auditor/Analyst for the State of New Mexico's Health Insurance Exchange; this agile life cycle project's scope included compliance with the federal Affordable Care Act (ACA). PMBOK, CMMI, and IEEE primary best practices for gap analyses.	
Contract / Project	State of Massachusetts Health Insurance Exchange and Integrated Eligibility System (HIX/IES)	2012 - 2014
Role/Job Title	IV&V Auditor/Project Lead	
Responsibilities / Tasks	Full time, 18-month effort as Project Lead for State of Massachusetts Health Insurance Exchange and Integrated Eligibility System (HIX/IES) user testing; provided IV&V audits of compliance with the ACA. PMBOK, CMMI, and IEEE were primary best practices against which he performed gap analyses.	



Contract / Project	State of Florida Child Support Enforcement IV&V	2008 - 2012
Role/Job Title	Senior IV&V Analyst	
Responsibilities / Tasks	Four years' experience as senior analyst on multi-year Child Support Enforcement IV&V project providing federal oversight of \$160M State of Florida multi-year contract. Emphasis on PMBOK- and CMMI-based audit to evaluate compliance with best practices, gap analysis, and improvement recommendations. PMBOK, CMMI, and IEEE were primary best practices against which gap analyses were performed.	

United States Air Force

Contract / Project	United States Air Force	1984 - 2004
Role/Job Title	Project Manager/System Acquisitions Engineer	
Responsibilities / Tasks	<p>Project Manager - Communication Control - Managed 15-person, 24/7 team handling emergency information management; independently developed \$40K emergency facility project from ground up, heralded by higher headquarters as "Best in the organization".</p> <p>Project Lead - Army Weather Intelligence - Managed solution center for Army's worldwide weather intelligence support; Lead advisor for strategic planning, requirement analysis/implementation; Successfully increased weather procurement funding; Worked directly for commanding general, US Army Intel. Center and Ft Huachuca; Authored procurement documents for weather simulation in Army ISR using the Integrated; Meteorological System (IMETS) acquisition; authored doctrine/Tactics, Techniques & Procedures.</p>	

EDUCATION/TRAINING

<p>MS, Computer Information Systems, University of Phoenix MS, Atmospheric Science, Colorado State University</p> <p>Certified Project Management Professional (PMP) Army Certified Project Manager Air Force Certified Acquisition Professional: Program Management Air Force Certified Acquisition Professional: Comm/Computer Certified Automated Information Systems, National Defense University Six Sigma Black Belt (SSBB) Lean Six Sigma SCAMPI Class A, Software Engineering Institute/CMMI Institute Introduction to CMMI</p>

REFERENCE #1	REFERENCE # 2	REFERENCE # 3
Steve Updike	William Brown	Carolyn Thompkins
State of Florida, Department of Revenue	BerryDunn	Independent IT Consultant
Contract Manager	Principal	CMS Certification Consultant
Updikes@DOR.state.fl.us	bbrown@berrydunn.com	cgthompkins@hotmail.com
2450 Shumard Oak Blvd Tallahassee, FL 32399	100 Middle Street, Portland, ME 04101	Palm Coast, Florida
(850)-591-8500	(207) 415-3652	(386) 585-4633

BRITTANY BRIDGES, CBAP

SES BA/Test Analyst

SUMMARY UNDERSTANDING	Over 7 years of IV&V experience within Healthcare environment (Child Support Enforcement, HIX and Medicaid). Experience includes Federal certification of major
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OF PROCESS	healthcare systems and development of UAT cases. Currently supports the State of Minnesota Health Insurance Exchange (HIX) and Eligibility & Enrollment Systems Modernization (EEX); and the Minnesota License and Registration System (MNLARS) as IV&V analyst. Fulfilled IV&V analyst duties for State of New Mexico Health Insurance Exchange (2014); Test analyst duties for the State of Massachusetts HIX IV&V UAT (2013-2014); and IV&V Analyst for the State of Florida Child Support Enforcement IV&V Team. Experience with standard IV&V best practice checklists across the Design, Development, and Implementation (DDI) lifecycle – including the development and maintenance of IV&V processes, product and interview components; IV&V findings and documentation, and IV&V reporting compliance with Federal standards. Experience with implementing QC over SDLC phases. Considerable experience with the implementation of CMMI IT best practices / standards and compliance for IT development projects. Experience with developing and updating IV&V Oversight checklists.
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DETAILED WORK EXPERIENCE

Software Engineering Services

Contract / Project	Minnesota HIX-EEX IV&V Project Department of Human Services	2013 - PRESENT
Role/Job Title	Senior IV&V Analyst; Requirements& Testing Oversight Areas	
Responsibilities / Tasks	Provides IV&V oversight of Training and Requirements Management for State of Minnesota HIX implementation project and Eligibility and Enrollment Modernization (EEX) project; Compiles IV&V quarterly reports to the State of MN; Drafts IV&V findings and recommendations for inclusion in IV&V quarterly reports; Conducts interviews with MN HIX/EEX staff; Attends HIX/EEX project meetings to collect IV&V data; Reviews IV&V attestations mandated by Federal government for accuracy and completeness.	

Contract / Project	New Mexico HIX IV&V Project State of New Mexico Dept of Human Services	2014 - 2015
Role/Job Title	Senior IV&V Analyst	
Responsibilities / Tasks	Provided IV&V oversight to State of New Mexico for Training oversight, Operations and Maintenance oversight and other aspects of the HIX project; Drafted and updated IV&V findings to the State of NM, Conducted interviews with NM HIX staff to obtain project status, Attended HIX project meetings to collect data; Compiled IV&V oversight checklists on monthly basis; Created and edited monthly IV&V report to State; Performed product evaluations of project artifacts for IV&V data gathering; Met weekly with HIX staff to discuss status and remediation of IV&V findings; Supported submission of various IV&V deliverables including Archive, Final Report, and Work Plan.	

Contract / Project	Florida MMIS & DSS Assessment State of Florida Medicaid	2013 - 2013
Role/Job Title	QA Analyst	
Responsibilities / Tasks	Provided QA for the deliverables for review of FL MMIS and DSS conversion to Managed Care. Assisted with the review of MITA documentation for FL Medicaid's proposed "to Be" business processes. Worked with the Technical Analysts in the development and internal approval of Deliverable Expectation Documents.	

Contract / Project	Massachusetts HIX IV&V Project State of Massachusetts Department of Human Services	2013 - 2014
Role/Job Title	IV&V Test Analyst	
Responsibilities /	Provided test analyst support of MA HIX UAT; Allocated and analyzed test data,	



Tasks	scripts, and cases; modified and updated test defect records in JIRA; and verified testing documentation. Compiled daily testing report documenting test metrics for state and federal stakeholders. Functioned as liaison between implementation vendor's testers and MA HIX IV&V team to formally communicate the status of testing. Created, modified and executed test scripts, test cases, and scenarios. Aligned applicable federal data sets with test cases and create data suited to specific test scenarios.
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Contract / Project	FL Child Support Enforcement IV&V Project Florida, Department of Revenue	2008 - 2012
Role/Job Title	IV&V Business Analyst/Project Coordinator	
Responsibilities / Tasks	IV&V Business Analyst/Project Coordinator - Assigned to State of FL Child Support Enforcement (2008 – 2012). Assigned to State of FL Child Support Enforcement (CSE) IV&V Team. Performed QC activities on IV&V deliverables. Performed Corporate QA & QC activities for SES IV&V processes. Compiled IV&V Implementation and Operations oversight checklists. Evaluated Federal CSE Certification presentations and deliverables. Performed oversight of FL CSE Project Training, QA, Communications, etc. Performed product and process evaluations of IV&V project deliverables including IV&V Quarterly Reports. Compiled Task Accomplishments Plan and Monthly Financial Reports. Created meetings attendance metrics and maintenance of IV&V Findings Database. Assisted PM with project schedules and Office of Child Support Enforcement (OCSE) reporting.	

EDUCATION/TRAINING

BS Business Administration & Economics – Univ. of Missouri;
BA International Studies – Univ. of Missouri
Certified Business Analyst Professional (CBAP) – March 2014, International Institute of Business Analysis (IIBA)

REFERENCE #1	REFERENCE # 2	REFERENCE # 2
Scott Peterson	Steve Updike	Kevin Pearson
State of Minnesota	State of Florida	Pearson Business Solutions
CIO DHS	Compliance & Program Integrity, DOR	Owner / Consultant
Scott.peterson@state.mn.us	Updikes@DOR.state.fl.us	kcpears@cox.net
658 Cedar St., Saint Paul MN	2450 Shumard Oak Blvd, Tallahassee FL 32399	21955 Granada Street Gretna, NE 68028
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NAQUISHA SMITH, COMPTIA SECURITY+ CE

SES BA/Test Analyst

<p>SUMMARY UNDERSTANDING OF PROCESS</p>	<p>Currently the IV&V Senior Technical Lead Analyst for MN HIX-EEX IV&V Project. Over 15 years of experience in IT project management and all phases of SDLC. Created and maintained project plans/schedule, issue/risk logs, PCR analysis and both detailed and summary status reporting. Experience with designing, testing and implementation of IT systems within multiple industries. Extensive background in requirements analysis, configuration management (including Change Control Boards), system testing and implementation. Considerable experience with Release Management. Recent experience development IV&V Security checklist for Federal Healthcare systems compliance.</p>
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DETAILED WORK EXPERIENCE

Software Engineering Services

Contract / Project	State of Kansas	2015 - PRESENT
Role/Job Title	IV&V Senior Analyst	
Responsibilities / Tasks	<p>(2016) IV&V Senior Analyst - Evaluate KS KanDrive Project presentations and deliverables. Perform oversight of KS KanDrive Requirements Management, Software Development, Application Security and System and Acceptance Testing. Perform product and process evaluations of IV&V project deliverables including IV&V Monthly and IV&V Quarterly Reports.</p> <p>(2015 - Present) - Evaluate KS MMIS Project presentations and deliverables. Perform oversight of KS MMIS Requirements Management, Software Development, Application Security and System and Acceptance Testing. Perform product and process evaluations of IV&V project deliverables including IV&V Monthly and IV&V Quarterly Reports.</p>	
Contract / Project	State of TX TxDMV LACE Replacement System)	2015 - PRESENT
Role/Job Title	IV&V Senior Software/Test/Security Analysis	
Responsibilities / Tasks	<p>Assigned to State of TX TxDMV Replacement System IV&V Team. Evaluate TxDMV Replacement System Project presentations and deliverables. Perform oversight of TxDMV Replacement System Requirements Management, DDI, Software Development, Application Security and System and Acceptance Testing. Perform product and process evaluations of IV&V project deliverables including IV&V Monthly and IV&V Quarterly Reports</p>	
Contract / Project	State of Minnesota HIX-EEX IV&V	2014 - PRESENT
Role/Job Title	IV&V Senior Technical Lead Analyst (Security & Requirements)	
Responsibilities / Tasks	<p>Evaluated MN HIX-EEX Project presentations and deliverables. Perform oversight of MN HIX-EEX Requirements Management, Data Management, Software Development and System and Acceptance Testing for process compliance. Perform product and process evaluations of IV&V project deliverables including IV&V Monthly Reports.</p>	
Contract / Project	State of New Mexico Health Insurance Exchange	2014 - 2015
Role/Job Title	IV&V Senior Technical Lead Analyst	
Responsibilities / Tasks	<p>IV&V Senior Technical Lead Analysis - Assigned to State of NM HIX IV&V Team (2014 – 2015). Evaluated NM HIX presentations and deliverables. Performed oversight of NM HIX Requirements Management, Development Environment, Software Development, System and Acceptance Testing, Data Management and Operating Environment. Performed product and process evaluations of IV&V project deliverables including IV&V Monthly Reports.</p>	



Contract / Project	State of Massachusetts Health Insurance Exchange and Integrated Eligibility System (HIX/IES)	2013 - 2014
Role/Job Title	Lead Test Analyst/Software Engineer	
Responsibilities / Tasks	Provided User Acceptance Testing oversight for State of Massachusetts HIX/HIE Medicaid implementation project. Established test criteria, test cases and test data. Provided scheduling and monitoring of Surge Test Team during the execution very large test cases. Assisted with the test discrepancies problem analysis and resolution.	

Independent Consultant

Contract / Project	Independent Consultant	2012 - 2013
Role/Job Title	Project Manager/Lead Software Engineer	
Responsibilities / Tasks	Provided PM support reviewing project plans; establishing project control plans and procedures; and implementing Risk & Issue Management plans and processes. Verified estimates, project commitments and overall soundness of WBSs. Performed technical review of design specs; Conducted technical review training and SDLC training. Assisted with establishing System and User Acceptance processes and deliverables' formats.	

NCS Pearson

Contract / Project	NCS Person	2010 - 2012
Role/Job Title	IT Project Manager / Lead Software Engineer	
Responsibilities / Tasks	Performed PM planning and monitoring of special projects to develop and implement software applications for the Illinois State Achievement Test (ISAT). Responsible for oversight Software Development Team through aspects of the SDLC. Ensured adherence of CMMI level standards. Reviewed and approved test and implementation plans (Lead for Test Readiness Reviews and Implementation Readiness Reviews. Participated in the design and development of major enhancements, key responsible for Release packages with completed test results, data conversion specifications and implementation procedures. Monitored applications Trouble tickets and Defect Tracking logs.	

Motorola

Contract / Project	Motorola	2005 - 2010
Role/Job Title	Software Integration/Test Project Manager – Mobile Devices	
Responsibilities / Tasks	Project Lead of the software product integration team managing the successful outcome of software deliverables for multiple carriers using Agile Methodology.	

Lucent Technologies

Contract / Project	Lucent Technologies	1998 - 2004
Role/Job Title	Software Developer	
Responsibilities / Tasks	Designed, developed, and tested software applications for various features. Developed Software Applications that allow customers to utilize telecommunications Equipment for data being translated to various cell sites from the ECP using C/UNIX.	

EDUCATION/TRAINING

M.S., Project Management, Keller Graduate School of Management B.S., Computer Science, Jackson State University CompTIA Security+ ce Introduction to CMMI for Services; Introduction to CMMI for Development

REFERENCE #1	REFERENCE # 2	REFERENCE # 3
Brendan Biggins	Umair Khan	Wilbert Battle
Massachusetts, contracted via	Commonwealth of Massachusetts,	Department of Defense



NTT Data, Quincy, MA	Quincy, MA	Maryland
UDT Testing Manager	Test Analyst	System Engineer
Brendan.biggin@state.ma.us	Umair85khan@gmail.com	wbat91@yahoo.com
47 Hobart Terrace Braintree, MA. 02184	79 Beacon Park Brockton, MA 02302	3521 Seagrass Lane Laurel, MD 20724
(617)-947-4739 (c)	(774) 240-2407 (c)	(630) 926-1504 (c)

ROBERT WEISE

Technical Analyst/Architect

SUMMARY EXPERIENCE OF PROCESS	Software Engineer with more than 30 Years in software development and life cycle support. Designed and programmed software systems such as compilers to defensive weapons systems for the US and Canadian governments to large scale data warehouse systems for the private sectors. During this tenure, worked on contracts with many clients, ascertaining their data requirements then developing software systems that support those requirements.
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DETAILED WORK EXPERIENCE

Software Engineering Services

Contract / Project	State of MN	2012 - 2014
Role/Job Title	Systems Architect	
Responsibilities / Tasks	Specialized position: focusing on enterprise architecture and data structures and developing transaction applications (via Oracle Forms) in the housing and financial market. Basic duties range from Installing and upgrading the agency's Oracle Server and application tools (DBA Functions) to designing/creating primary objects (tables, views, indexes) as per transaction application and developer requirements. The upgrade of the Oracle RDBMS entailed switching from an Oracle 10g 32 bit platform to the 64bit Platform and creating 11g databases for the Enterprise Content Management System (ECM). The primary tool for development of transaction applications is Embarcadero's ER/Studio Data Architect. Also introduced an industry BI tool – SiSense. Created data sources for development of rich SiSense Dash boards primarily for financial and loan management analysis.	

Robert Half Technologies

Contract / Project	Internal	2011 - 2011
Role/Job Title	Development DBA	
Responsibilities / Tasks	Principle task was to develop data models, using ER/Studio's Data Architect, for the Anti-Fraud Oracle 10g OLAP data warehouse. The data models, both Logical and Physical, were then used to maintain OLAP schemas. In addition to building data models, supported several business groups and application developers (across the US and offshore) with their database needs, such creating tables; Correcting Errors; Creating Schema's, ROLES and Permissions; and analyzing performance issues to creating views for data validation purposes. Member of several Scrum teams. The tool of choice for creating User Stories was Rally's Agile Platform and Products.	

RZSolutions



Contract / Project	Multiple Projects	2011 - 2011
Role/Job Title	Data Analyst/Architect	
Responsibilities / Tasks	Designed HR Data Warehouse Data Marts on SQL Server R8. Data Marts included: Work Assignments: Requisitions/Applicant/Candidate: Employee Appraisals. The data mart design (and implementation) was based on the Kimball Star Schema Slowly Changing Dimensional (SCD) methodologies. In addition to the dimensional design, created the physical Fact and Dimension tables along with the procedures (source to target mappings) that populated them.	

iTECH Solutions

Contract / Project	State of Florida Child Support Enforcement IV&V	2010 - 2011
Role/Job Title	IT Project Consultant – BA/Designer	
Responsibilities / Tasks	<p>Participated in Business Requirements gathering for the PPI project. Designed the Dimensional Data Mart Model [Kimball Star Schema] to support Business reporting requirements.</p> <p>Provided guidance to ETL [Data Stage] staff for implementation of Dimensional Data Marts Developed complete Source to Target mappings for the initial data loads and subsequent data marts. Supported the data architecture group in development of the Dimensional Model for ERWIN.</p>	

Talent Software Services, Inc.

Contract / Project	Project Consultant: Moneygram International	2008 - 2009
Role/Job Title	Data Warehouse Architect / Analyst	
Responsibilities / Tasks	<p>Designed and developed the Business Intelligence Data Warehouse for MGI's Summit Project. The Summit project is a highly customized ORACLE applications (11i) TCA (Trading Community Architecture) module.</p> <p>Gathered user requirements and implemented various Operational Data Stores (ODS) and Data Marts (DM), and translated into technical requirements based on the Kimball Star Schema model.</p> <p>Implemented the ODS/DM models utilizing PowerDesigner.</p> <p>Designed the Money Order Daily Sales model. This entailed specifying the ETL logic and dimensional model.</p>	

MODIS IT

Contract / Project	Designer for Wells Fargo / Business Analyst for Carson Companies	2006 - 2008
Role/Job Title	Designer/Business Analyst	
Responsibilities / Tasks	Assigned to Wells Fargo as a Designer for the Central Data Hub (CDH) project within their Enterprise Data Warehouse (EDW). Responsible for providing the ETL design to produce various Financial Data extracts, based upon Business Requirements Documents (BRD's), between the Source System of Record and the downstream	



	<p>financial institutions. This essentially entailed combining separate data files into one data extract via SQL constructs. The design employed the use of data process diagrams in conjunction with source to target data mappings along transformation rules for both file and field levels.</p> <p>Assigned to Carlson Companies' Marketing Group of Plymouth Minnesota as a Data Warehouse business analyst for Carlson's INSIGHT project. Reviewed their Data Warehouse design and provided analysis of their many financial and property hierarchies. Developed complex financial reports detailing their prime accounts for each of their Operating Groups.</p>
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EDUCATION/TRAINING

BS in Architecture - Kent State University; Accredited BSEE Elsewhere

REFERENCE #1	REFERENCE # 2	REFERENCE # 3
James Barnes	Christopher Larson	Deanna Olson
MHFA	MHFA	Sun Country Airlines
Developer/Analyst	IT Project Manager	Business Analyst
jamesrbarnes@gmail.com	www.linkedin.com/in/christopher-larson-pmp-69660814	www.linkedin.com/in/deannaolson
7221 Pillsbury Ave S Richfield, MN 55423	400 Sibley Street, Suite 300 Saint Paul, MN 55101	1676 Laurel Ave. St. Paul, MN 55104
(612) 616-7715	(651) 296-9544	(651) 603-1630

NINA TERHAAR

SES IV&V Technical Analyst/Architect

SUMMARY UNDERSTANDING OF PROCESS	<p>Senior technical systems architect with 25+ years experience in supporting enterprise and data warehouse systems for Minnesota Department of Human Services. Experience with leading full scale system development from requirements analysis thru implementation. Provided technical oversight for major HIX/Eligibility Enrollment System. Extensive experience coordinating user and system requirements between multiple state agencies. System knowledge includes multi-tier platforms, web applications services, data warehouse and systems performance tools. Understand state government healthcare operations and systems communication and coordination protocols. Experience with all phases of enterprise systems testing (integration thru operational readiness) and continuity of operations. Other key knowledge areas: feasibility and tradeoff-studies and facilitation of JADs</p>
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DETAILED WORK EXPERIENCE

Software Engineering Services

Contract / Project	N/A	2015 - Present
Role/Job Title	Sr. IV&V Systems Architect	
Responsibilities / Tasks	<ul style="list-style-type: none"> • Provide technical review of enterprise systems design and implementation plans. • Review enterprise data warehouse plans , including integration and systems test plans • Review and evaluate systems for compliance with state technology standards as well as federal regulations (if applicable), i.e. MITA. 	

Minnesota Department of Human Services – IT Services

Contract / Project	IV&V	1985 - 2015
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Role/Job Title	Applications/Systems Architect, Data Warehouse/Information System Manager, Senior Systems Enterprise Team Lead, Senior Systems Analyst, LAN Administrator, Computer Operations Manager, System Analyst
Responsibilities / Tasks	<ul style="list-style-type: none"> • Provided technical leadership for development and implementation of enterprise architecture for 8000-person state agency, keeping business and technology planning in strategic alignment. • Extended Continuity of Operations Planning best practices across DHS systems. • Designed and managed web-based application inventory system. • Evaluated systems configurations (hardware & software) compliance with Agency Enterprise standards and operations procedures • Provided agency-wide technical resources for accessibility and accessible technology. • Contract manager for Independent Validation and Verification (IV&V) for health care reform system implementation projects. • Developed requirements, design and interface specs, technical drawing and feasibility studies • Led development of systems test and implementation plans and operational readiness reviews • Led system web application development team and managed development and operation of enterprise applications, networks and databases/data warehouses • Managed DHS enterprise data warehouse and executive information system. • Developed and coordinated all phases of implementation and operation, from initial requirements through testing to production. Developed and implemented training plans on data and tools. • Conducted and facilitated JAD sessions with stakeholders, integrated project teams and customers • Analyzed requirements, designed, developed and implemented a data warehouse. Created programs and procedures to extract data from various applications. Manipulated and cleansed data. Loaded data into DB2 and Oracle. Created system documentation and designed job flow. Provide data warehouse support for users from over 80 state agencies. • Planned, developed and documented warehouse test and technical audit process. Analyzed test data. Developed user documentation. Programmed reports and data extracts utilizing Advantage/DS, Crystal Reports, Microsoft Access and Lotus. Assisted over 300 users install and utilize similar tools. • Organized implementation and migration of quarterly releases of the warehouse, utilizing skills from functional analysts, data administrators and database administrators. • Set priorities and clarified user requirements. Managed all parts of implementation projects. • Determine technical readiness to implement statewide administrative systems (accounting, purchasing, human resources and payroll) within 130 state agencies. • Solicited, evaluated and recommended funding for state agencies and statewide purchases for project implementation. Managed research, procurement and delivery of hardware and software at 45 different agencies. • Wrote technical documentation for the User Implementation Guide for the project, including installation requirements and recommended hardware configurations. • Developed preliminary implementation plan which was later expanded for state-wide use. • Performed all user support and help desk activities for the Biennial Budget System. Supported 130 state agencies and governor in preparing the state's budget for presentation to the legislature. • Researched, designed, installed, administered, maintained and supported the agency's first local area network, as well as all other computer resources within



	<p>the division, including terminal, PC, mini-computer and mainframe access. Provided support for 75 users.</p> <ul style="list-style-type: none"> • Managed department hardware and software operations, including mini-computer, PCS and remote access to mainframe. Created user, system and training documentation. Supported 235 users, including evaluation and recommendation of systems design, development and purchases. • Lead for application requirements definition and analysis, system development and maintenance. • System and database administrator for integrated licensing system (Honeywell Bull DPS6 Plus). Analyzed requirements, design, develop, purchase and implement the department's first integrated, computerized licensing system to coordinate over 350,000 licenses and 3 million records. • Drafted rules, statutes and procedures relating to licensing requirements.
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EDUCATION/TRAINING

<p>M.B.A.-May, 1993. University of St. Thomas. Concentration: Information Systems. B.A.-May, 1978. Augustana College. Major: Business Ed. Minors: Business Administration/ Economics.</p>

REFERENCE #1	REFERENCE # 2	REFERENCE # 3
Scott Peterson	Lisa Koenig	Rick Bagley
MN.IT Services assigned to DHS	MN.IT Services assigned to DHS	MN.IT Serices assigned to DHS
CIO DHS	MMIS Program Manager	Enterprise Architect
Scott.Peterson@state.mn.us	Lisa.Koenig@state.mn.us	Rick.Bagley@state.mn.us
444 Lafayette Rd Mail Stop 0993 Saint Paul MN 55164-0993	444 Lafayette Rd Mail Stop 0998 Saint Paul MN 55164-0998	444 Lafayette Rd Mail Stop 0940 Saint Paul MN 551564-0940
(651) 431-3315	(651) 431-6072	(651) 431-3279

RENEE LAROSA

MITA Subject Matter Expert (SME)

<p>SUMMARY UNDERSTANDING OF PROCESS</p>	<p>Over thirty (30) years of in-depth project management, technical lead, system analysis, testing, and programming experience within various IT environments. Recognized numerous times by the client for her superior management and Medicaid technical and business support. Extensive experience in all facets on MMIS Technical Support (HIPAA, CMS Certification, MITA, ICD-10, ITB development, Advanced Planning Documents, etc.), and outstanding interpersonal and customer orientated skills.</p>
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DETAILED WORK EXPERIENCE

Software Engineering Services

Contract / Project	Alabama Medicaid Agency	2008 - PRESENT
Role/Job Title	Project Manager	
Responsibilities / Tasks	<p>Responsible for management oversight of a support services contract. Part of the team that gathered the requirements and wrote the ITB (Invitation to Bid) for the MMIS Takeover with Enhancements project. Supported the Agency in procurement activities including the bidder's conference, responding to questions, and amending contracts. Defined the Statement of Work and project methodology to be followed with implementation of enhancements. Due to her outstanding procurement, the Agency retained her after contract award, and worked with the client to manage the MMIS Takeover with Enhancements Project and the ICD-10 Transition Project. She has continued working closely with the Agency MMIS business users for several years. Led the Agency's effort on an internal ICD-10 impact assessment, and helped defined requirements for the Vendor's impact assessment. Manages a team that provides the Agency with ICD-10 training and documentation. Defined and documented the ICD-10 transition processes and procedures for the Agency. Participates in JAD sessions, reviews project deliverables, ensures the Vendor compliance with ITB requirements and verifies ITB project methodology adherence.</p> <p>Project lead on the ACA Operating Rules Phase III project and is now the Project Lead to transition the Agency from Fee for Service (FFS) claims processing to Managed Care. Ms. LaRosa and her team develop and update the CMS required Advanced Planning Documents (APDs) for ICD-10, ACA Operating Rules Phase III and the Managed Care transition project. She works closely with the Fiscal Agency Project Manager and management team to ensure the contract requirements are met and the project follows the Agency defined project structure. Ms. LaRosa develops and maintains project plans, provides status reports and maintains appropriate risk and issue registers/logs.</p>	

Contract / Project	Alabama Medicaid Agency	2006 - 2008
Role/Job Title	IV&V Technical Lead	
Responsibilities / Tasks	<p>Technical lead for the IV&V of the MMIS (EDS-HP) implementation. Responsible for creating deliverables of a technical nature and for reviewing and commenting on technical deliverables. Worked with the customer to ensure they understand the technical problem or issue before decisions are made. Worked with the customer to verify the conversion mapping and helped the customer understand conversion issues.</p>	

Contract / Project	Alabama Medicaid Agency	2005 - 2006
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Role/Job Title	IV&V Test Manager	
Responsibilities / Tasks	Test manager for a system conversion that involved multiple vendors. Duties involved defining the IV&V criteria and process for reviewing all testing documents. Supported the vendors in system testing and managed the member and provider test IDs. Also led a pilot test that involved all vendors sharing data.	
Contract / Project	Iowa Medicaid Enterprise IV&V Project Iowa Department of Human Services	2000 - 2005
Role/Job Title	MMIS IV&V Technical Lead / MMIS Certification /Test Engineer	
Responsibilities / Tasks	<p>Performed technical oversight of the development and implementation of the Iowa Medicaid Enterprise. Included review of all MMIS subsystems of the MMIS System Conversion Project. Reviewed Business Rules and DSS Data Rules. Worked with the Claims Processing, Provider, Recipient, and TPL subsystems. Assisted with the development of UAT procedures and well as CMS MMIS Certification prep activities. Worked with the Agency to achieve successful CMS MMIS and DSS Certification.</p> <p>Performed technical oversight HIPAA implementation and conducted IV&V on the fiscal agent. Reviewed MMIS enhancements technical design documents, impact assessment, UTA procedures/results and implementation plans. Technical IV&V lead for all in-house remediation systems (claims, eligibility, etc.). This included developing an in-house eligibility verification application (HIPAA 270/271 transaction). Other IV&V duties included development and implementation of a Model Test Facility to standardize testing processes and procedures.</p> <p>Conducted a system test for a state government on a TANF (Temporary Aid for Needy Families) project. Duties included developing and maintaining the system test plans, conducting project status reports, preparing change requests, and maintaining a Test Issues Log. Other tasks included developing utilities to validate data and weekly reports to senior management.</p>	
Contract / Project	Mutual of Omaha Y2K Project Mutual of Omaha Insurance Companies	1999 - 2000
Role/Job Title	Test Manager	
Responsibilities / Tasks	Provided management oversight for a large insurance company Medicare Y2K Re-certification effort. Duties included developing and maintaining the project plans, generating WBSs, conducting project status reports, preparing change requests, maintaining Project Issues Log, and performing risk management. Other tasks included formulating task estimating guidelines and providing weekly status reports to senior managers and Health Care Financing Administration (HCFA) representatives. As the Test Manager, led the standardization of test process, procedures, and reports.	
Contract / Project	Mutual of Omaha Y2K Project Mutual of Omaha Insurance Companies	1997 - 1999
Role/Job Title	Y2K Technical Lead/ Test Engineer	
Responsibilities / Tasks	Provided technical solutions for their Y2K efforts. Duties included assessment and inventory analysis, development and validation of Y2K conversion specifications, and interface with I/S analysts for specification implementation (including database/file expansion issues). As the Cycle Test manager, assessed the testing requirements within the established 19XX test process, and ensured testing integrity was achieved. Her test responsibilities included developing test specifications/scripts, data preparation, test job execution planning, test execution support, and test evaluation analysis. Additionally, she was responsible for preparing test analysis reports, assisting Test Support Group with open issues, and conducting test analysis reviews.	



Contract / Project	Multiple IT Project FDR & Olan Mills Employee	1980 - 1997
Role/Job Title	Software Engineer, OPS Technical Lead, Programmer	
Responsibilities / Tasks	<p>Sr. Software Test Engineer; International Client Software Support: Provided technical assistance and system support for International Teams. Duties included conducting system test reviews, coordinating all International Team systems test activities, performing technical lead tasks in support of clients, user, programmers, and other internal organizations (primarily support development and installation of projects), and providing training to junior analysts and programmers.</p> <p>Operations Technical Support Lead: Responsibility included automating the system run schedules, supporting production cycles and providing technical assistant for three system operators. Tasks consisted of: providing 1st line IBM mainframe problem resolution; implementation of Report Distribution System; implementation of a job scheduler; performed VSAM file maintenance and DASD management; scheduled new and modified jobs into production; and set up operations daily run schedules.</p> <p>Applications Programmer: Responsible for the development and maintenance of COBOL programs. Programs included both CICS and batch programs using DL/1. Created and maintained VSAM file and their record formats as well as the JCL for the production jobs. Provided support for production batch job execution and test output verification. Completed the data conversion and testing activities of a MSA accounts payable system in ½ the Ernst and Young project estimates.</p>	

EDUCATION/TRAINING

Computer Certificate, Chattanooga State Technical Community College, 1976 Command Level CICS/VS Application Programming On-Line Software, Atlanta ,GA 1985 Data Processing Operations Management; Automated Operations Management Planning: IBM, Orlando, FL, 1991 Building NATURAL Applications; Application Analysis & Design; Using , 1993 Predict in Application Cycle; Fasttrack Program: Software A/G, Association for Computer Operations Managers, 1994 SQL Server 2000 Comprehensive Introduction (Hands-on Learning Tree Intl), 2003 Relational Databases (Hands-on Learning Tree International), 2004 SQL Server 2000 Database Administration (Hands-on Learning Tree Intl), 2005 CMMI Project Management Training, 2006 SES Project Management Forums, 2008 - 2010

REFERENCE # 1	REFERENCE # 2	REFERENCE #3
Marcia Spear	Clay Gaddis	Patti Allen
Hewlett Packard Enterprise	Alabama Medicaid	Hewlett Packard Enterprise
Project Analyst	MMIS Coordinator	Project Manager
marcia.spear@hpe.com	Clay.gaddis@medicaid.alabama.gov	patti.allen@hpe.com
301 Technacenter Dr. Montgomery, AL 36117	501 Dexter Ave. Montgomery AL 36304	301 Technacenter Dr. Montgomery, AL 36117
334-215-4286	334-242-5838	360-210-5695



JACK WIGGINS

Eligibility Subject Matter Expert (SME)

<p>SUMMARY UNDERSTANDING OF PROCESS</p>	<p>25+ years of Medicaid MMIS, Eligibility & Enrollment, Medicaid Claims processing, MMIS UAT, and MMIS CMS certification .. MMIS experience in analysis, design and development, testing and implementation of Claims and Eligibility subsystems. Technical Lead for three (3) HP-EDS MMIS implementations / upgrades. Considerable experience with MITA framework, ICD-10 implementation and HIPAA transactions standards. Experienced, innovative IT administrator with background in Eligibility and Enrollment systems; adept in designing and coordinating interfaces with other State and Federal Agencies (CMS, IRS, etc.) to ensure system integrity and compatibility between systems for claimants in government sponsored programs for elderly, children and disabled individuals across all platforms. Subject matter expert in Federal and State systems such as Medicaid Enrollment (AMAES), Medicare enrollment (CMS), SDX, Bendex, SVES, EDB, CMS, SSI and SSA, EDS, DPH and DHR.</p>
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DETAILED WORK EXPERIENCE

Software Engineering Services

<p>Contract / Project</p>	<p>Alabama Medicaid Eligibility Modernization Contract Alabama Medicaid Agency</p>	<p>2008 - PRESENT</p>
<p>Role/Job Title</p>	<p>Senior Medicaid Eligibility & Enrollment SME</p>	
<p>Responsibilities / Tasks</p>	<p>Participates in the conversion of Medicaid Agency's VSAM eligibility subsystem (AMAES, SDX, SVES and BENDEX) to a DB2 database system. Participates in Joint Application Design (JAD) sessions.</p> <p>Assists the Medicaid Policy and Business stake holders in the creation and design of the new Eligibility system and all on-line applications. Subject matter expert advisor to project leaders in analyzing COBOL, Easyplus programs and jobs.</p> <p>Assists Medicaid Claims & Eligibility development team in analysis, walkthroughs, testing, turn-over and filing of programs and jobs.</p>	

Alabama Medicaid Agency

<p>Contract / Project</p>	<p>Alabama Medicaid Agency (Employee) Alabama Medicaid Agency</p>	<p>2002 - 2008</p>
<p>Role/Job Title</p>	<p>IT Claims & Beneficiary Associate Director Manager</p>	
<p>Responsibilities / Tasks</p>	<p>Managed the upgrade/conversion of the Alabama MMIS to the EDS-HP "Interchange" MMIS. Participated in Medicaid Information Technology Architecture (MITA) "As Is" business processes in defining "To Be".</p> <p>Technical Lead for the testing of Medicaid claim processing; assisted with the development UAT procedures Supervised project leaders and developers in the development and enhancement of Claims and Beneficiary systems and programs. Managed the Medicaid Eligibility/Enrollment system to include Medicaid nursing homes, waivers and SOBRA children, DHR, SSI, MLIF and Youth Services.</p> <p>Technical Lead for HIPAA implementation (transactions, privacy and security) and compliance; assessed Agency's impacts and major modifications.</p> <p>Designed MMIS enhancements and new systems for the eligibility of all Medicaid claimants and managed peripheral systems that interfaced with other state and government agencies such as Department of Public Health (DPH), Department of</p>	



	<p>Human Resources (DHR), Education, Social Security Administration (SSA), CCMS and the agency's Fiscal Agent EDS.</p> <p>Project Manager for VSAM to DB2 of all Agency's Eligibility and Enrollment systems. Created and maintained project plan and schedule using Microsoft Project during all phases of the project from the DDI through implementation. Monitored and conducted Medicaid Policy and Technical JAD sessions. Maintained the project schedule of all timelines, milestones, issues, resolutions, risks and risk mitigations. Reviewed and approved all contractor deliverables. Responsible for rendering decisions on requests for IT services. Trained and developed programming staff.</p>
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Contract / Project	Alabama Medicaid Agency (Employee)	1990 - 2001
Role/Job Title	MMIS – Eligibility Technical Lead	
Responsibilities / Tasks	<p>Lead and supervised software application team in the development of enhancement of effective, efficient systems. Designed, developed, analyzed and debugged programs and jobs using mainframe tools to ensure correct functional and operational requirements were satisfied. Worked on project evaluation committees to evaluate MMIS ITBs and other Medicaid contract bids. Participated in Joint Application Design (JAD) sessions. Interfaced and communicated with all departments and outside agencies to ensure accurate and efficient eligibility data integrity. Medicaid Technical Lead for the implementation, testing certification for the MMIS (EDS-HP). Technical Lead for Y2K conversion and testing of Eligibility and Claims systems; served as primary CMS interface.</p>	

EDUCATION/TRAINING

<p>M.S. Counseling & Human Development, Troy State University B.S. Computer Information Systems, Alabama State University</p>

REFERENCE #1	REFERENCE #2	REFERENCE #3
Michael Kelley	Mary P. Marshall	Lee T. Maddox
Alabama Medicaid Agency	Retired, Alabama Medicaid	Retired, Alabama Medicaid
Associate Dir, Beneficiary Software	Retired	Retired
Michael.Kelley@medicaid.alabama.gov		fijaboys@aol.com
501 Dexter Ave, Montgomery, AL 36104	2368 Butler Mill Rd., Montgomery, AL 36105	5750 Carriage Barn Ln., Montgomery, AL 36116
334-353-4106	334-284-2523	334-201-9231



MARILYN CHAPPELLE

Policy/Regulation Subject Matter Expert (SME)

SUMMARY UNDERSTANDING OF PROCESS	15 years Healthcare Project Management. Extensively skilled in Program Development, Research/Problem Resolution, Program Implementation, Benefits Administration, Proposal Development, Community/Public Relations, Staff Training/Supervision, Budget/Strategic Planning, Consulting/Interviewing, Information Dissemination, Program Management, Technical Instruction, Auditing/Reporting and Compliance Issues.
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DETAILED WORK EXPERIENCE

In Word and In Deed Professional and Personal Development Company

Contract / Project	N/A	2012 – Present
Role/Job Title	Consultant (Professional and Personal Development)	
Responsibilities / Tasks	<p>Offering practical and engaging training to enrich your professional and personal life</p> <p>Long Term Care Consultant based upon Specific Expertise noted above</p> <p>Developing, writing and training on federal 1915 (c) HCBS Waiver application submission and implementation processes</p> <p>Developing, writing, implementing and training on Medicare/Medicaid Program of All-Inclusive Care for the Elderly (PACE)</p>	

Alabama Medicaid Agency

Contract / Project	N/A	1997 - 2012
Role/Job Title	HIPAA Project Manager	
Responsibilities / Tasks	<p>Provided assistance in interpreting, developing, and implementing policies and procedures, which affected the Alabama Medicaid Agency and the overall mission of the Agency. Responsible for overall management of the following programs: Home and Community-Based Waiver Programs, Nursing Home Program, Durable Medical Equipment and Supplies Program, Targeted Case Management, Home Health Program, Private Duty Nursing Program, and Hospice Program. Other duties included the following:</p> <p>Developed and managed an administrative and program budget in excess of two billion dollar.</p> <p>Managed and supervised a staff of twenty-five professional, administrative, and support staff.</p> <p>Provided technical assistance, guidance and consultation to long term care providers</p> <p>Responsible for ensuring that state and federal policies are followed related to Intermediate Care Facilities for the Mentally Retarded (ICFs/MR) and the Institutions for Mental Diseases (IMD).</p> <p>Developed a 1915(c) Home and Community-Based Waivers for individuals with Alzheimer and dementia who reside in an Assisted Living Facility; individuals over age 21 with diagnoses of HIV/AIDS or related illnesses and for technology dependent individuals over age 21.</p> <p>Traveled statewide to consult and advise providers, consumers and advocates of program changes and other initiatives</p>	



EDUCATION/TRAINING

Troy State University Troy, Alabama Bachelor Of Science In Nursing Minor: Social Rehabilitation June 1979

Birmingham Theological Seminary Student Seeking Masters Of Arts Biblical Studies

Military Experience 1st Lt. Us Army Nurse Corps 1986-1992

Auburn University At Montgomery Certified Public Manger Levels I, li, lii

Registered Nurse State Of Alabama

REFERENCE #1	REFERENCE # 2	REFERENCE # 3
Gary Edwards	Stentson Carpenter	Mark Owsley
United Cerebral Palsy of Greater Birmingham	Rainbow Omega Intermediate Care Facility for Individuals with Intellectual Disabilities	State Lawyer
CEO	CEO	Attorney at Law
gedwards@ucpbham.com	stentsoncarpenter@rainbowomega.org	N/A
100 Oslo Circle, Birmingham, Alabama 35211	P.O. Box 740, Eastaboga, Alabama 36260	211 South Street W, Talladega, Alabama, 35160
(205) 944-3900	(256) 831-6388	(256) 362-1821



2.9.5 SES CORPORATE SUPPORT POOL

KATHLEEN O'LEARY EXON

SES Project Management Office/Contract Management Office

<p>SUMMARY UNDERSTANDING OF PROCESS</p>	<p>Currently manages SES Contract Management Office and Project Management Office (Federal, State, Commercial and Independent Contractors contracts and agreements) and provides Contract Management and PMO Support for State of Kansas KEES IV&V Project, and State of MN Housing Finance Agency, State of Minnesota HHS IV&V and TX HHS IV&V. Over twenty-five years of contract, product and project management experience to include project oversight, compliance, identification of and resolution of risk and ensuring client satisfaction. Contract experience includes negotiations, RFP/proposal analysis review, legal clarifications, and overall support of vendors and customer agreement relationships. Review of IT products, and services agreements for practical implementation, contract compliance/performance and overall success. Led negotiations for custom contracts and modifications of standard contracts with multinational companies which resulted in breakthrough agreements. Included successful negotiations with leading software, internet, financial, healthcare, legal, and transportation companies. Modified existing contracts or drafted new contract vehicles to meet customized requirements. Researched the market to identify best sources and fit for partnerships. Negotiated contracts which reduced operational costs. Evaluated and approved Request for Information/ Request for Proposal (RFI/RFP) responses for compliance with legal, financial, technical, and business requirements. Consulted with legal, risk management, service management, and technical managers to determine if processes were in place or developed to ensure compliance. Developed processes or solutions to ensure compliance if not in place. Major Federal regulatory experience to include development of Compliance Plan for Customer Proprietary Network Information with the FCC (US West); analysis of FCC requirements, opposition comments, and other respondent comments; and development of cost data and proposed pricing for tariff approval of regulated products.</p>
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DETAILED WORK EXPERIENCE

Software Engineering Services

Contract / Project	Multiple State Projects	2010 – PRESENT
Role/Job Title	Senior Contracts and PMO Manager	
Responsibilities / Tasks	Leads the SES Project Management Office and Contracts Management Office. Performs oversight of SES Federal, State, and Commercial Contracts.	

Quest Communication

Contract / Project	Quest Communication	1986 - 2010
Role/Job Title	Senior Contracts Manager / Lead Finance Analyst	
Responsibilities / Tasks	<p>Analyzed and approved nonstandard financial, business, technical, and legal terms for major contracts. Led negotiations for custom contracts and modifications of standard contracts with multinational companies that resulted in breakthrough agreements. Led successful negotiations with leading software, internet, financial, healthcare, legal, and transportation companies. Modified existing contracts or drafted new contract vehicles to meet customized requirements. Researched the market to identify best sources and fit for partnerships. Negotiated contracts that reduced operational costs. Analyzed, approved, and negotiated nonstandard pricing, terms, and services.</p> <p>Review of IT products, and services agreements for practical implementation, contract compliance/performance and overall success. Led negotiations for custom contracts</p>	



and modifications of standard contracts with multinational companies which resulted in breakthrough agreements. Included successful negotiations with leading software, internet, financial, healthcare, legal, and transportation companies. Modified existing contracts or drafted new contract vehicles to meet customized requirements. Researched the market to identify best sources and fit for partnerships.

Negotiated contracts which reduced operational costs. Evaluated and approved Request for Information/ Request for Proposal (RFI/RFP) responses for compliance with legal, financial, technical, and business requirements. Consulted with legal, risk management, service management, and technical managers to determine if processes were in place or developed to ensure compliance. Developed processes or solutions to ensure compliance if not in place. Major Federal regulatory experience to include development of Compliance Plan for Customer Proprietary Network Information with the FCC (US West): Analysis of FCC requirements, opposition comments, and other respondent comments; and development of cost data and proposed pricing for tariff approval of regulated products.

EDUCATION/TRAINING

Bachelor of Arts- Psychology, Creighton University, Omaha, Nebraska; Data Solutions Training; AT&T Finance and Marketing Courses; M.I.T. & North Dakota State University Computer Science Courses



RAJ SHARMA, PH.D

SES Quality Management Office

<p>SUMMARY UNDERSTANDING OF PROCESS</p>	<p>More than 10 years of system analysis, system development, and IV&V and testing management. Performed quality assurance and compliance oversight management. Deep experience with process improvement, project management, process product design and development, and CMMI facilitation and implementation. As corporate QA and CM, he established QA/QC policies, processes and procedures (in compliance with CMMI Level 3). Lead Consultant with extensive experience in CMMI assessment, implementation and appraisal in commercial environments. In addition to leading Metrics Analysis/Collection Team, he established several QA and Structured Peer Review functions responsible for technical integrity and validation of entire SDLC activities and products. Detailed knowledge of best practice-compliant IV&V activities and deliverables. Expert-level knowledge in software metrics and measurements. Key Expertise Includes: Quality Assurance, Medicaid, HIPAA, MMIS, CMMI, Six Sigma, and Project Management.</p>
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DETAILED WORK EXPERIENCE

Software Engineering Services

<p>Contract / Project</p>	<p>State of Minnesota HIX-EEX IV&V State of Minnesota Department of Human Services</p>	<p>2014 - PRESENT</p>
<p>Role/Job Title</p>	<p>Senior Project Management Oversight IV&V Lead</p>	
<p>Responsibilities / Tasks</p>	<p>Functions as HIX / ACA Consultant. Provides extensive oversight for all Project Management project plans, change requests, change control, budget-schedule performance. Develops and presents findings to CMS, Legislature, and State Executive Management.</p>	

<p>Contract / Project</p>	<p>State of New Mexico Health Insurance Exchange (NMHIX)</p>	<p>2014 - 2015</p>
<p>Role/Job Title</p>	<p>IV&V Senior Technical Lead</p>	
<p>Responsibilities / Tasks</p>	<p>Functioned as HIX / ACA Consultant. Assisted the Agency in prep and presenting progress, concerns, and recommendations to CMS. Performed oversight of NMHIX Security, Requirements Management, Development Environment, Software Development, System and Acceptance Testing, Data Management and Operating Environment. Performed product and process evaluations of IV&V project deliverables including IV&V Monthly Reports.</p>	

<p>Contract / Project</p>	<p>State of Massachusetts Health Insurance Exchange and Integrated Eligibility System (HIX/IES)</p>	<p>2013 - 2014</p>
<p>Role/Job Title</p>	<p>Lead UAT Engineer</p>	
<p>Responsibilities / Tasks</p>	<p>Developed the overall UAT Test Plan and processes. Provided User Acceptance Testing oversight for State of Massachusetts HIX/HIE Medicaid implementation project. Established test criteria, test cases and test data. Provided scheduling and monitoring of Surge Test Team during the execution of very large test cases. Assisted with the test discrepancies problem analysis and resolution. Verified automated test tool and documentation was maintained and updated with all test products.</p>	



Contract / Project	Numerous Projects and Contracts	2004 - PRESENT
Role/Job Title	Quality Assurance Engineer / CMMI Consultant	
Responsibilities / Tasks	Led implementation of CMMI maturity level 3 processes; Corporate QA manager for three successful CMMI SCAMPI A appraisals. Developed, implemented and currently maintains enterprise quality assurance, configuration management, and measurement and analysis policies. Developed Software Quality Assurance and Software Development processes. Improved corporate development process, reducing project lifecycle by 15%. Performed Quality Assurance, managed testing activities and Quality Audits. Developed and used Product Life Cycle plans. Provided checklist-driven oversight of formal inspections across the SDLC. Developed Peer Review training courses. Performed Feature Requirement Analysis/Planning; Test Planning; and Test Participation.	

Blue Cross Blue Shield Nebraska

Contract / Project	Blue Cross Blue Shield Nebraska	2001 - 2003
Role/Job Title	Process Analyst	
Responsibilities / Tasks	Developed processes in the HIPAA effort for Electronic Data Interchange (EDI) using M2 Engine as translator. Coordinated and participated in requirements gathering process and documentation. Established testing methodology for different components of the translation. Managed testing at different levels: unit, system, user acceptance. Captured, analyzed, and reported test results.	

F3 Solutions

Contract / Project	F3 Solutions	2000 - 2001
Role/Job Title	Project Manager	
Responsibilities / Tasks	Established group project management methodology and training. Managed projects and customers. Coordinated with project stakeholders to ensure project activity compliance with project plan. Delivered training on different areas of project life cycle including quality and project management. Identified and established partner relationships.	

EDUCATION/TRAINING

<p>Ph.D., University of Baroda</p> <p>M.S., Computer Information Systems, Bellevue University</p> <p>Other certifications: SEI SCAMPI Class A Training, August 2007; SEI Certificate, CMMI Version 1.2 Training, 2007; Serena TeamTrack Administrator; Six Sigma Green Belt Certification; Certificate of Professional Development, Bellevue University; Project Management Boot Camp, Bellevue University</p>



ALICIA CALDWELL

SES Resource Management Office

SUMMARY UNDERSTANDING OF PROCESS	A skilled professional with significant recruiting/staffing, project/process management, communications, training, and documentation experience in various industries including Software/IT, Healthcare, and Federal/State Government. Expertise in establishing relationships, developing dynamic teams, Human Resources, and facilitating employee/departmental collaboration. Highly competent at organizational and cultural communications, negotiations, networking, and mentoring.
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DETAILED WORK EXPERIENCE

Software Engineering Services

Contract / Project	N/A	2011 – Present
Role/Job Title	Human Resources Recruitment & Retention Manager	
Responsibilities / Tasks	<ul style="list-style-type: none"> • 2011 Newcomer of the Year Award & 2012 Outstanding Performer Award. • Perform full lifecycle recruiting from initial sourcing to hire/start date. • Recruits for positions all over the U.S. to include Sales, Information Technology, Government/Military, State and Federal Government Solutions, etc. • Consults with executive management in reference to market conditions, hiring trends, and innovation in attracting top talent. • Provide reporting employment metrics, recruiting forecast, and strategies to leadership. • Manage the development, implementation, and evaluation of recruiting practices and procedures, and supervises and coordinates recruiting and staffing activities. • Manage/create/select recruiting resources/tools and handle vendor issues and contract negotiations. • Manage and maintain applicant tracking system/SharePoint. • Ensures successful communication with staff and management to improve work-flow, priorities, and improve time-to-hire ratios. • Coaches, mentors, and leads the Recruiters and Recruiting Assistants. 	

Planet Consulting, LLC

Contract / Project	N/A	2008 - 2011
Role/Job Title	Sr. Technical Recruiter	
Responsibilities / Tasks	<ul style="list-style-type: none"> • Perform full lifecycle recruiting from initial sourcing to hiring and contracts. • Manage all documentation and communications within the Taleo Applicant Tracking System. • Source and place candidates for various Sales/Marketing and Information Technology contract and permanent positions in Omaha. • Follow-up with client and candidate regarding interview feedback and offer employment. • Conducted candidate searches using the internet, databases, referral programs, cold calling, and social networking (i.e. Facebook, LinkedIn, Plaxo, Twitter, etc), as well as writing job ads, advertising, and networking through meetings, conferences, and local memberships (i.e. Omaha Chamber of Commerce, Big "O" Networking Group, Women In Leadership, University of Nebraska at Omaha Alumni, etc.). 	

Election Systems & Software

Contract / Project	N/A	2006 – 2008
Role/Job Title	International Operations Project Manager, Technical Content Administrator	



Responsibilities / Tasks	<p>International Operations Project Manager (December 2007 - Jan 2008):</p> <ul style="list-style-type: none"> • Managed operational maintenance and support of international sales channels and international customers to ensure the successful deployment and execution of international projects. • Initiated, planned, executed, controlled and maintained each customer and project to close. • Planned timely, secure, accurate, and trouble-free project implementations of voting systems. • Delivered skills and knowledge transfer to international sales channels and customers. • Secured equipment, firmware, cabling and resources for each project. • Provided distributor and vendor support, project and process management, customer service, customer communication, and elections implementation. <p>Technical Content Administrator (May 2006 - Jan 2008):</p> <ul style="list-style-type: none"> • Managed the content, publishing and distribution of internal and external software/hardware technical documents and communication to customers via web, portal and email. • Consulted with management, Quality Assurance, Development and Customer Support staff to establish technical specifications and to determine subject material to be developed for publication. • Crafted technical bulletins, training documentation, customer communications, technical specifications, change releases and process flow documents.
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J&S Audio Visual, INC

Contract / Project	N/A	May 2005 – Oct 2005
Role/Job Title	Managing Director - Nebraska Operations	
Responsibilities / Tasks	<ul style="list-style-type: none"> • Managed audiovisual operations for local offices and client events (conferences, meetings, entertainment). • Increased annual sales projections per event contracts that directly affected bottom line profits. • Collaborated with clients to determine event audio and video needs, wrote contracts using event management software, reviewed contracts with clients, and coordinated event details, scheduling, setup and strike. • Addressed weekly accounts payable to include "event" expenses; labor, equipment sub-rental, and operating costs, as well as equipment repair, operational and depreciation costs. • Managed technical, operational, and office personnel. Established and maintained vendor relationships and communications. • Coordinated audio and video subcontracting for labor and equipment, tracked labor need/usage and equipment inventory and ordering. 	

American Healthnet

Contract / Project	N/A	2004 – 2005
Role/Job Title	Education & Implementation Specialist	
Responsibilities / Tasks	<ul style="list-style-type: none"> • Provided installation, training, project management, documentation, and sales and customer support for both internal and external customers on windows integrated Healthcare and Operational software. • Participated in implementation project design, client meetings, product/release testing and scheduling of million dollar software installations. 	



- Developed product and process manuals, human resource documents, corporate communications, product release notes, training manuals and product certification testing.
- HIPPA Privacy and Security Officer.

EDUCATION/TRAINING

M.A. Organizational Communication, University of Nebraska at Omaha, Omaha, NE, 1996

B.S. Public Relations, University of Nebraska at Omaha, Omaha, NE, 1994

2.10 I - SUBCONTRACTORS

Software Engineering Services does not have and does not require, any subcontractors for this effort.





3.0 TECHNICAL APPROACH

The SES approach to meeting oversight requirements is tailored to the Nebraska MMIS project requirements that use a mature, repeatable and reliable set of procedures honed over the past 20 years of consulting on complex, large healthcare IT projects.

The tailoring especially takes into account the most recent changes and updates that are necessary to comply with CMS reviews and other activities; some of the more noteworthy CMS requirements include:

- ✓ Our Project Management Oversight Pool of checklists incorporate the CMS certification checklists for the Programmatic Critical Success Factors (CSFs) described in the Medicaid Enterprise Certification Life Cycle (MECT) version 2.0, March 2016.
- ✓ Our CMS and MITA Compliance Pool of checklists will incorporate the CMS certification checklists for the MMIS CSFs.
- ✓ The life cycle in this section tracks with the new CMS 4-phase life cycle.
- ✓ Our work plan (schedule) will reflect activities supporting both the CMS Certification Progress Reports and the Milestone Reviews.

3.1 IV&V RESPONSIBILITIES

Software Engineering Services (SES) brings considerable experience applying CMS compliant IV&V processes and using industry “best practices” to facilitate an effective, structured, and repeatable independent project and performance evaluation. We understand that your Eligibility and Enrollment Solution and Data Management and Analytics projects are vital and critical to the continued success of addressing current and future challenges. The SES IV&V approach fully complies with CMS requirements by integrating the following standards and practices:

Institute of Electrical and Electronics Engineers (IEEE) Standard 1012-2004. Including the following standards:

- 12207 Software Life Cycle Process
- 703 Software QA Plans
- 1074 Developing Software Project Lifecycle Process
- 828 Configuration Management Plans
- 830 Requirement Specifications
- CMMI to ensure the use of Quality Processes throughout the Development Life Cycle
- ISO 9001:2008 to ensure the use of a sound Quality Management Principles
- Project Management Institute (PMI) Project Management Body of Knowledge (PMBOK) Fourth Edition to ensure sound Project Management practices during the project
- PMBOK - Government Extension, as additional standards by which to assess the EEX Project

3.1.1 PROJECT MANAGEMENT

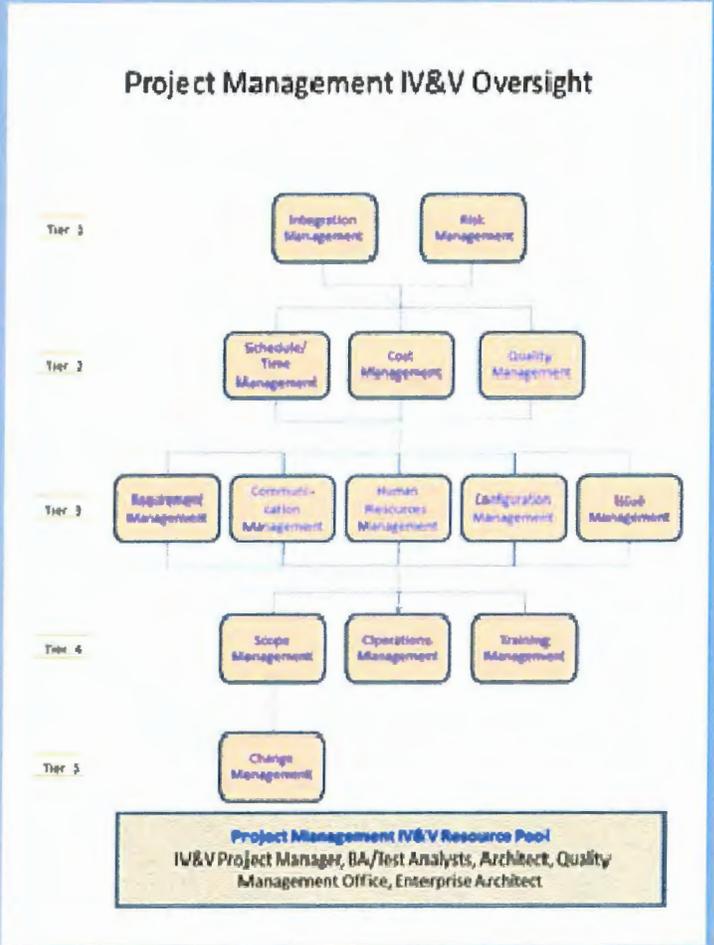
RFP Section B – Requirements Table Response																															
Project Management Requirement	SES Approach																														
<p>1 Must develop and submit comprehensive IV&V Project Management Plan(s) work product for Department approval a maximum of 30 days after the project start, and must manage and perform the IV&V services in accordance with the IV&V Project Management Plan(s)</p>	<p>Our mature and repeatable processes are designed specifically to provide the Department with specific, achievable recommendations for improving process maturity, thereby assisting with improving health care outcomes. The “umbrella” project management plan (graphic below) integrates our plans and ensures our team follows each component plan. There is one umbrella plan (proposed outline shown below) for each project (e.g. EES, DMA, others as assigned).</p> <p>All of our work toward all of our deliverables will follow a highly structured, repeating pattern of coordinated team activity, which we have refined over many years on many similar projects.</p> <p>We also bring the strength of our IV&V team’s broad experience in the health care sector, specifically in the MMIS and ACA areas to demonstrate compliance; our staff of SMEs includes sub-specialty level knowledge in areas such as MITA and ICD10.</p> <p style="text-align: center;"><u>IV&V Project Management Plan</u></p> <table border="0"> <tr> <td>1 Introduction</td> <td>6.2.1 Milestones</td> </tr> <tr> <td>1.1 Purpose</td> <td>6.2.2 Project Schedule</td> </tr> <tr> <td>1.2 Project Characterization</td> <td>6.3 Metrics</td> </tr> <tr> <td>2 Executive Summary</td> <td>6.4 Quality Management</td> </tr> <tr> <td>3 Overview</td> <td>6.5 Staff Management</td> </tr> <tr> <td>4 Assumptions/Constraints/Risks</td> <td>6.5.1 Project Team Training</td> </tr> <tr> <td>5 IV&V Methodology</td> <td>6.6 Communication Management</td> </tr> <tr> <td>5.1 Data Collection</td> <td>6.6.1 Communications Matrix</td> </tr> <tr> <td>5.2 Integrated Data Analysis</td> <td>6.7 Risk Management</td> </tr> <tr> <td>5.3 Data scoring</td> <td>6.7.1 Risk Register (Risk Log)</td> </tr> <tr> <td>5.4 IV&V Reporting</td> <td>6.8 Configuration Management</td> </tr> <tr> <td>5.5 Data and Deliverables Storage</td> <td>6.9 Issue Management</td> </tr> <tr> <td>6 IV&V Schedule</td> <td>6.9.1 Issues List (Issue Log)</td> </tr> <tr> <td>6.1 Estimating</td> <td>6.10 Subcontractor Management</td> </tr> <tr> <td>6.2 Schedule Management</td> <td></td> </tr> </table> <p style="text-align: center;">Sample IV&V Project Management Plan Table of Contents</p>	1 Introduction	6.2.1 Milestones	1.1 Purpose	6.2.2 Project Schedule	1.2 Project Characterization	6.3 Metrics	2 Executive Summary	6.4 Quality Management	3 Overview	6.5 Staff Management	4 Assumptions/Constraints/Risks	6.5.1 Project Team Training	5 IV&V Methodology	6.6 Communication Management	5.1 Data Collection	6.6.1 Communications Matrix	5.2 Integrated Data Analysis	6.7 Risk Management	5.3 Data scoring	6.7.1 Risk Register (Risk Log)	5.4 IV&V Reporting	6.8 Configuration Management	5.5 Data and Deliverables Storage	6.9 Issue Management	6 IV&V Schedule	6.9.1 Issues List (Issue Log)	6.1 Estimating	6.10 Subcontractor Management	6.2 Schedule Management	
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2 Must develop IV&V project schedule(s) work products a maximum of 30 days after the projects' start and update weekly IV&V schedules that coordinates IV&V activities with project schedules.

Our Project Initiation phase includes developing/submitting for DHHS approval a comprehensive schedule; the schedule is a real IV&V work plan with deliverables decomposed into highly estimatable work packages. Each work package includes: start and end dates; percent complete; assigned IV&V staff

Appendix A is a sample schedule from an earlier SES Medicaid IV&V engagement.

The Project Management Plan's Methodology organizes our scheduled effort around four (4) Oversight Checklist Pools tailored for the NE MMIS effort. The diagram below depicts the Project Management Oversight Pool:



3	<p>Must develop clear lines of communication and collaborative working relationships with project teams, project leadership, and CMS.</p>	<p>See also our Stakeholder coordination/communication in the Section 2.9.1 organizational charts of this proposal.</p> <p>Long-term communication is most effective when built on trust relationships. Partnerships must be “managed for success.” The work must happen in an environment of respect, accountability and teamwork.</p> <p>SES has more than 20 years’ experience establishing project settings that were and still are united, committed partnerships. Our approach to stakeholder management is a proven, repeatable process with clear objectives. Our attention and care to this critical project success factor will allow us to effectively manage partnerships to the benefit of DHHS and the many other stakeholders.</p> <p>You can count on SES to develop the Communication Management Plan (a component of our integrated Project Management Plan – see Requirement #1 above in this table) that memorializes how we will achieve the right communications per project governance structure.</p>
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Table 3: Project Management RFP Section B – Requirements Table Response

RFP Section C – Requirements Response

Describe the bidder's proven methodology, approach, and process for Project Management of Medicaid IV&V activities

See also Requirement #1 above in the table above.

Our plan is to manage the Medicaid IV&V projects in an integrated fashion. The development and application of project control and direction in the DHHS IT Projects, including the intersection of independent contract activities, must be managed to achieve successful configuration, development, design, and implementation that is both on time and within budget.

SES will follow its proven and tested Project Management (PM) methodology that is flexibly-based on industry best practices:

- ✓ PMBOK® from the Project Management Institute (PMI)
- ✓ Capability Maturity Model Integration® from the CMMI Institute
- ✓ ISO standards ISO 9000, a family of standards for quality management systems, and the ISO 10006:2003, for Quality management systems and guidelines for quality management.

SES is fully informed and up-to-date regarding changes in the Medicaid Enterprise Certification Life Cycle. The table below demonstrates the consistency between the new MECL and the lifecycle descriptions in the sub-sections that follow; our approach to project management aligns with CMS as well as with other, long-standing industry best practices, and therefore exceeds the CMS requirements for Medicaid project management of IV&V:

PMBOK PHASE	CMS PHASE	CMS REVIEW
Project Initiation	Initiation and Planning	-
Project Monitoring and Control	Initiation and Planning	Initiation Milestone reviews
Project Planning	Initiation and Planning	
Project Execution	Requirements, Design and Development,	-
Project Monitoring and Control	Requirements, Design and Development,	Operational Milestone Reviews
Project Execution	Integration, Test and Implementation	-
Project Monitoring and Control	Integration, Test and Implementation	Operational Milestone Reviews
Project Monitoring and Control	Operations and Maintenance	Certification Final Review(s) Certification Decision
Project Closure	-	-

RFP Section C – Requirements Response

See Appendix A for the sample schedule.

From the technical perspective we use a phased approach to organize IV&V activity. We organize each phase around a deliverables-based breakdown of work. Together the narrative Plan (Requirement #1 above in this table) and the Schedule contain and describe all required work.

We will create the Work Plan during the first 30 days of Project Initiation, and update it as requested in order to remain synchronized with the DDI schedule. The IV&V Schedule will be updated weekly to remain aligned not only with the project's master schedule, but also with CMS phase gate reviews and certification requirements contained in the MITA/MECT. Our scheduled activities will include regular checks on CMS requirements changes during each project's life cycle.

The SES Project Schedule lays out the day-to-day activities around attending meetings; performing interviews; and – as depicted in the worksheet templates below – reviewing the vendor's and state's work products.

IV&V Product Evaluation Worksheet

Work Product:		Evaluation Date/Time:			
Program/SDLC Phase:		Form #:			
IV&V Analyst(s):		Date Completed:			
Product Evaluation Approach: Identify potential questions to answer from checklists: [ABBREVIATIONS] Review the [NAME] artifact. Complete product evaluation worksheet.					
Product Evaluation Preparation Activities (including Checklist(s) used):					
1	Set up worksheet for evaluation.				
2	Review [ZZ] Oversight Checklist.				
Evaluation Summary:					
Product Evaluation Results/Observations/Findings/Recommendations:					
1	AOP: [ASSESSMENT OF PROCESS] AOE: [ASSESSMENT OF EFFECTIVENESS] Recommendation: 1.				
	AOP: AOE: Recommendation: 1.				
Relevant Documentation (references):					
1					
Action Items					
	Owner	Due Date	Description		
1					
Action Plan					
Current State					
Desired State					
Action Strategy/Approach					
Action Manager					
Action Steps					
Action #	Action Step Description	Assigned To	Starting Date	Due Date	Completed Date
1					
2					
3					
4					

ii Include an example of an IV&V project schedule utilized on similar projects

RFP Section C – Requirements Response

iii Describe how the IV&V bidder's project management approach adapts to varying State governance models

One significant advantage SES brings is a broad range of governance experiences; this is especially true within state and federal government environments! Examples follow in the table below:

MAJOR IT PROJECT	GOVERNANCE SUMMARY
Florida Child Support Enforcement Automated Management System (CAMS), Phase II IV&V	The Federal Office of Child Support Enforcement (OCSE) was the major governing Sponsor. OCSE is within the Department of Children and Families (DCF). The SES IV&V team acted as OCSE's "eyes and ears" during this four-year IV&V engagement
State of Alabama Medicaid Agency New MMIS IV&V Services	SES has been providing oversight as well as testing and implementation technical services for Alabama Medicaid for many years. Included in these services are the CMS MITA and certification, ICD-10, and HIPAA 5010.
Texas HHS MMIS IV&V Services	SES provides quality assurance and IV&V services for multiple MMIS projects and ongoing enhancements. State and federal governance.
Kansas Health Insurance Exchange IV&V; Kansas Eligibility and Enrollment System IV&V	Kansas MMIS and the KEES efforts both fall within Kansas Department of Children and Families (KDHE). KS Department For Children and Families (DCF) is a KEES stakeholder. Both programs are governed by the Kansas Information Technology Office – KITO – to whom we submit all deliverables. Proactive leadership is required in these two environments.
Minnesota License and Registration System (MNLARS) Audit	MNLARS is governed by Minnesota Department of Public Safety's Driver and Vehicle Services (DVS), but also by Minnesota's Chief Information Officer (CIO), who is performing an in-house DDI. Our work necessitates collaboration with, and reporting to, both the State's technical and business stakeholders.
Texas Licensing, Administration, Consumer Affairs and Enforcement Replacement IV&V	The LACE Replacement is a project governed by the Texas Department of Motor Vehicles (DMV), to whom we report.

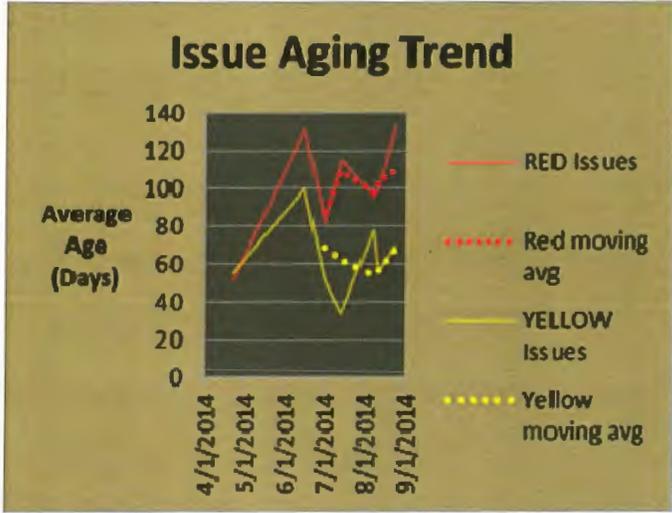
RFP Section C – Requirements Response		
iv	Address the bidder's approach to meeting each requirement in a table that contains the requirement and the contractor's approach to meeting the requirement	As provided in this table and the Section B Requirements Response table above.

Table 4: Project Management RFP Section C – Requirements Response

3.1.2 INDEPENDENT ASSESSMENT AND QUALITY ASSURANCE

RFP Section B – Requirements Table Response																										
Project Management Requirement	SES Approach																									
<p>1 Must actively participate in the projects and provide ongoing assessments of the projects to proactively identify risks, issues, and opportunities along with associated recommendations for the project team.</p>	<p>Project risks and opportunities (a.k.a. Positive risks) permeate every facet of every project. All major project constraints – quality, cost, schedule, resources, and scope – involve risk tradeoffs and the presence or absence of risk management. It is critical that your IV&V remain focused on risks associated with gaps in the implementation and effectiveness of project processes. It is equally critical that your IV&V reporting presents actionable steps that may mitigate or resolve those risks.</p> <p>The purpose of Risk Management is to identify potential problems before they occur, so that risk-handling activities may be planned and implemented, as needed across the project life-cycle, and to mitigate adverse impact to achieving project objectives.</p> <p>The most important aspect of our risk management is that we document risks, issues and opportunities directly onto our standardized activity worksheets. Every meeting we attend, product we review, and interview we conduct is documented on worksheets. Our on-the-ground and remote teams are constantly involved in each project's meetings; work products and deliverables; and interviews.</p> <p>To have an effective Risk Management program, our method will also:</p> <ul style="list-style-type: none"> ▪ Address issues that could endanger mission-critical objectives ▪ Implement a continuous approach that provides effective anticipation and mitigation of risks with critical impact across Project lifecycles ▪ Implement early and aggressive risk identification through the collaboration and involvement of relevant stakeholders and contractors, as appropriate ▪ Create and establish an environment where all affected parties participate in free and open disclosure and discussion of risk <table border="1" style="margin-top: 10px;"> <thead> <tr> <th>Probability of Occurrence</th> <th>Negligible Impact</th> <th>Marginal Impact</th> <th>Critical Impact</th> <th>Catastrophic Impact</th> </tr> </thead> <tbody> <tr> <td>70- 100%</td> <td>Accept</td> <td>Manage</td> <td>Resolve</td> <td>Resolve</td> </tr> <tr> <td>40-70%</td> <td>Accept</td> <td>Monitor</td> <td>Manage</td> <td>Resolve</td> </tr> <tr> <td>10-40%</td> <td>Accept</td> <td>Monitor</td> <td>Manage</td> <td>Manage</td> </tr> <tr> <td>0-10%</td> <td>Accept</td> <td>Accept</td> <td>Monitor</td> <td>Monitor</td> </tr> </tbody> </table>	Probability of Occurrence	Negligible Impact	Marginal Impact	Critical Impact	Catastrophic Impact	70- 100%	Accept	Manage	Resolve	Resolve	40-70%	Accept	Monitor	Manage	Resolve	10-40%	Accept	Monitor	Manage	Manage	0-10%	Accept	Accept	Monitor	Monitor
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10-40%	Accept	Monitor	Manage	Manage																						
0-10%	Accept	Accept	Monitor	Monitor																						

<p>2</p>	<p>Must assess the progress of the projects against the planned schedules, budgets, and resource utilizations</p>	<p>Our IV&V methodology is designed around constant data collection, assessment, and analysis and reporting. We have continually refined our methodology through many years' experience working with current and past healthcare clients in Alabama, Florida, Iowa, Kansas, Massachusetts, Minnesota, and Texas. Our expertise as a CMMI Institute Partner and our PMP-certified staff will earn your confidence!</p> <div data-bbox="646 432 1305 974" data-label="Diagram"> <pre> graph LR A[Product/Meeting/Interview Worksheets] --> B[Oversight Checklists] B --> C1[IV&V Deliverable Set] B --> C2[IV&V Deliverable Set] B --> C3[IV&V Deliverable Set] subgraph Stage1 [Data Collection & Data Analysis] A end subgraph Stage2 [Integrated Data Analysis & Scoring Assessment] B end subgraph Stage3 [IV&V Reporting] C1 C2 C3 end </pre> </div>
<p>3</p>	<p>Must assess the projects' resources, managerial responsibilities, and governance structure to identify gaps and provide recommendations</p>	<p>See also our Project Management Oversight structure in Section 3.1.1, Requirement Table Item #1.</p> <p>Our entire method integrates seamlessly with major IT projects regardless of the chosen life cycle. Our suite of industry best practice-based Oversight Checklists can be applied equally well to Agile and traditional life cycles; our experience with the application of IV&V Oversight Checklists to Agile development environments ensures proper best practice interpretation within the Program and Project contexts.</p> <p>The SES IV&V methodology has been continuously refined. We are focused on providing you with the benefits of our refinements; we will continue to improve and build upon credible processes that have helped many former and current clients.</p> <p>Our proposed method to provide IV&V quality assurance and assessment services that not only meet federal enhanced funding requirements, but also help lift your organizational effectiveness and maturity; for the past two decades we have been doing exactly that for our clients!</p> <ul style="list-style-type: none"> ▪ Eleven clients (and still growing) who achieved either CMMI Maturity Level 2 or 3 as a result of partnering with us. These clients come from both IT- and Services-centric businesses – but one thing they have in common after our engagements is a measurable increase in their ability to achieve strategic business objectives and be more efficient and effective in their core competencies ▪ MMIS and other health care enterprises – clients like you – that used our IV&V expertise to conform to CMS standards; meet CMS requirements; reduce project risk; and improve their focus on schedule and scope constraints

4	Must participate in all project meetings unless otherwise directed by DHHS.	Every meeting we attend, product we review, and interview we conduct is documented on worksheets. Our method is for the on-the-ground and remote IV&V team members are continually involved in each project's meetings; work products and deliverables; and interviews.																																			
5	Must perform an independent assessment of issues where the implementation contractors and DHHS' project management organization disagree and provide the results of the assessment and recommendation to DHHS leadership.	<p>See our Project Management Oversight structure in Section 3.1.1, Requirement Table Item #1, which includes Issue Management oversight.</p> <p>See our Section 3.1.6 discussion of deliverables.</p> <p>See Appendix B for samples of our findings including issues assessment.</p> <p>The SES Issue Management assessment benefits from a dedicated Task Area in the Project Management Oversight Pool. We have an entire set of checklist questions dedicated just to issue assessment. The result is an ongoing, deep insight into the effectiveness of issue management in reducing project risk. We score risks in a variety of ways; the graph here is one example.</p> <div data-bbox="646 793 1318 1306" data-label="Figure">  <p>Issue Aging Trend</p> <table border="1"> <thead> <tr> <th>Date</th> <th>RED Issues (Days)</th> <th>Red moving avg (Days)</th> <th>YELLOW Issues (Days)</th> <th>Yellow moving avg (Days)</th> </tr> </thead> <tbody> <tr> <td>4/1/2014</td> <td>55</td> <td>55</td> <td>55</td> <td>55</td> </tr> <tr> <td>5/1/2014</td> <td>75</td> <td>75</td> <td>75</td> <td>75</td> </tr> <tr> <td>6/1/2014</td> <td>130</td> <td>100</td> <td>100</td> <td>100</td> </tr> <tr> <td>7/1/2014</td> <td>110</td> <td>70</td> <td>40</td> <td>60</td> </tr> <tr> <td>8/1/2014</td> <td>100</td> <td>60</td> <td>75</td> <td>60</td> </tr> <tr> <td>9/1/2014</td> <td>130</td> <td>100</td> <td>75</td> <td>75</td> </tr> </tbody> </table> </div>	Date	RED Issues (Days)	Red moving avg (Days)	YELLOW Issues (Days)	Yellow moving avg (Days)	4/1/2014	55	55	55	55	5/1/2014	75	75	75	75	6/1/2014	130	100	100	100	7/1/2014	110	70	40	60	8/1/2014	100	60	75	60	9/1/2014	130	100	75	75
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	<p>6</p> <p>Must perform one or more reviews of project deliverables and work products including but not limited to infrastructure, system documentation, design, working code, test scenarios, test cases, test results, plans, etc. and provide a detailed assessment of the quality of the deliverables and work products along with recommended changes. Assessment must include a recommendation on whether DHHS should approve the work product or deliverable. Review must address at minimum the following attributes:</p>	<p>See also the proposed Product Evaluation Worksheet in Section 3.1.1, Section C – Requirements Table Response, Item # ii. It includes assessment of the degree the work product is implemented; the quality of its effectiveness; identification of gaps and actionable recommendation(s) to overcome any identified gap/weakness.</p> <p>See also Section 3.1.6 discussion of deliverables.</p> <p>The diagram below depicts the SES proposed tiered approach to organize for the DDI Pool; it shows the relationship between Labor Categories, and the Technical Architecture, Development and Test Resource Pool and Oversight Task Areas.</p> <div data-bbox="586 562 1365 1612" style="border: 1px solid black; padding: 10px; text-align: center;"> <h3>Technical Architecture, Development and Test Oversight</h3> <pre> graph TD RD[Requirements Development] --> SD[System & Data Design] SD --> SB[System Build] SB --> T[Testing] SB --> Tr[Training] T --> AT[Acceptance Testing] T --> ST[System Testing] AT --> Im[Implementation] ST --> Im </pre> <p>Technical Architecture, Development & Test Resource Pool Technical Analyst, Technical Analyst, QA/Training Analyst, Data Analyst, Business/Test Analysts</p> </div>
<p>7</p>	<p>Must assess project plans, processes and procedures to identify improvements and whether they are being followed.</p>	<p>See Requirement #6 immediately above in this table.</p>

8	<p>Must assess project change orders for the following:</p> <ul style="list-style-type: none"> • The change order is following the approved change management plan and processes. • The change order is within the scope of the existing contract. • Cost and resource estimates for the change order are reasonable. • Recommendations for alternate approaches to achieving the outcome of the change order. 	<p>Please note Section 3.1.1, RFP Section B – Requirements Table Response, Requirement #1 includes sections to fully address Scope, Configuration/Change, and Requirements Management, respectively.</p> <p>The figure below depicts a proposed outline of the Change Management process. This process is designed to ensure the changes are recognized, recorded, and disposed in an orderly fashion and that all interested parties have appropriate involvement and visibility into the process along the way.</p>  <pre> graph LR A[Change Request] --> B[Initial Assessment] B --> C[Project Change Control Board Assessment] C --> D[Change Decision] D --> E[Change Documentation Completed] </pre> <p>The SES approach to change will include careful DDI vendor oversight of the change procedures, with the expectation they will provide analysis of impacts to the project schedule, cost, scope and quality. IV&V will make recommendations for improvements – and identify risks – associated with gaps in change control effectiveness.</p> <p>Our IV&V reporting always includes actionable recommendations to improve procedure implementation and effectiveness. The extension of our method to configuration and change management will provide for recommended alternative approaches to achieving the intent of proposed change.</p>
9	<p>Must comply with IV&V regulatory requirements detailed in 45 CFR 95.626.</p>	<p>The SES assessment report method requires no modifications to satisfy the objective of complying with Federal Regulations for IV&V including 45 CFR 95.626. Our four (4) Oversight Checklist Pools. As demonstrated in the Project Management, and this Assessment and Quality Assurance Responsibilities Sections, we:</p> <ul style="list-style-type: none"> ✓ Provide independent reporting to CMS ✓ Establish and maintain thorough Project Management Plans and an IV&V Schedule ✓ Are prepare for a scope of work that includes assessing and making recommendations for management of both DHHS and its vendors ✓ Consult with and engage project internal and external stakeholders ✓ Assess risks across all project constraints (cost, schedule, quality, resources) ✓ Provide metrics as an integral part of IV&V reporting that clearly convey project progress toward achieving goals, objectives, and critical success factors

10	Must identify areas of unnecessary duplication and overlap between roles on the projects.	<p>Our proposed Project Management Oversight Pool (Section 3.1.1, RFP Section B – Requirements Table Response, Requirement #1) includes the following Oversight Areas; each Oversight Area contains a rigorous and thorough set of questions against which we assess all aspects of project management. The bold face items (numbered 7, 8, and 9) are especially geared to ensure we identify efficiencies and role conflicts:</p> <p style="text-align: center;"><u>SES IV&V Project Management Pool Oversight Areas</u></p> <ol style="list-style-type: none"> 1. Project Management 2. Business Process Engineering 3. Risk Management 4. Communication Management 5. Configuration Management 6. Project Estimating And Scheduling 7. Project Personnel 8. Project Organization 9. Subcontractors 10. State Oversight 11. Operational Change Tracking 12. Customer & User Operational Satisfaction 13. Operational Goals 14. Operational Documentation 15. Operational Processes And Activities 16. System Maintenance 17. Requirements Management
11	Must assess and verify requirement traceability throughout the project and system development lifecycle of the projects.	<p>Requirement Item #6 above in this table depicts our approach toward Technical Architecture, Development and Test Oversight Pool. Within it is the Requirements Analysis and Development Oversight Area that specifically addresses traceability in the bold face Task Area:</p> <p style="text-align: center;"><u>SES IV&V Requirements Analysis/Development Oversight Area</u></p> <ul style="list-style-type: none"> ▪ Verify that an analysis of client, State and federal needs and objectives has been performed to verify that requirements of the system are well understood, well defined, and satisfy federal regulations ▪ Verify that all stakeholders have been consulted to the desired functionality of the system, and that users have been involved in prototyping of the user interface. ▪ Verify that all stakeholders have bought in to all changes which impact project objectives, cost, or schedule. ▪ Verify that performance requirements (e.g. timing, response time and throughput) satisfy user needs. ▪ Perform an exhaustive review of the Requirements Traceability Matrix (RTM) at project outset, and periodically, to ensure that State, federal, and other requirements are being met and the RTM remains up to date.

12	<p>Must develop and monitor project performance metrics which allow tracking project completion against milestones.</p>	<p>Data can be used to view, characterize, and assess a program or project in a nearly countless variety of ways. SES adheres to the idea that the purpose of data is, first and foremost, to meet the information needs of the management team, stakeholders and sponsors. At a minimum we propose and plan for metrics that incorporate the ideas listed here; we will develop such metrics by working with the DHHS management team and other stakeholders, and then use them to monitor and report project performance. Our reporting clearly conveys the project's progress in reaching it milestones:</p> <ol style="list-style-type: none"> 1. Provide clear, understandable visibility into the Program's progress in achieving its goals, objectives, and/or Critical Success Factors; usually these factors are laid out in a Charter or similar document that also makes the business case that initiated the Project. 2. Report work product/service quality and the other project constraints (time, cost, resources and scope). <p>There is therefore no one correct set of data to be measured, analyzed and reported. Instead, there are data characteristics that should be considered. We will work with the Department to ensure that Metrics:</p> <ul style="list-style-type: none"> ▪ (For Agile development) Take advantage of Agile data standards, such as the backlog burndown and Sprint velocity ▪ Report on scope and scope verification. Cornerstone data should include requirements traceability, which can be analyzed for percent requirements tested; percent requirements passed testing, etc. ▪ Report on schedule performance. Common metrics include schedule performance index; and even defect aging trend by severity levels (e.g. critical, high, medium, low) during testing phases as a schedule trend forecast ▪ Consider other trends such as Issue aging, which indirectly may forecast whether overall project risk is increasing or decreasing ▪ Report on cost performance to assess budget and/or legislative impacts. Cost performance index may be a conventional and useful view ▪ Align with goals, objectives, and/or critical success factors; for example: The number of objectives and success factors with which the project is aligned at each phase gate; and/or the degree to which they are aligned (each factor may be scored as Fully, Largely, Partially, or Not Aligned).
13	<p>Must submit criteria for approval for defining a Critical Incident which could adversely affect the outcome of the projects.</p>	<p>Section 3.1.2.2 – Data Collection Worksheets</p> <p>During the first 30 days and while still in the Project Initiation phase, SES will submit recommended criteria that collectively define critical incidents. Our criteria will be largely threshold-based and will integrate more than one type of observed data, and will likely include:</p> <ol style="list-style-type: none"> 1. A realized Risk whose exposure rating is Critical. 2. A current or imminent IV&V Finding whose rating is Urgent.

		IV&V Activity	IV&V Staff	Critical Incident Action
14	Must notify the Department immediately when the IV&V Contractor discovers any Critical Incident. Provide an Contractor Critical Incident Report for each Critical Incident that summarizes the incident, how it may affect the project, notes any discrepancies found by the IV&V Contractor and provides a proposed action plan to resolve the incident and mitigate its impact.	Data Collection & Analysis	All IV&V Team Members	Escalate to his/her IV&V PM, any observed/written incident or issue potentially meeting approved Critical Incident (CI) criteria
		Data Collection & Analysis	IV&V PM	Evaluate and immediately escalate observed CI's
		Integrated Data Analysis	All IV&V Team Members	Evaluate any potential CI not previously recognized during individual worksheet data collection and analysis
		Integrated Data Analysis	IV&V PM	Immediately escalate those issues that likely or definitely meet approved Critical Incident threshold(s)
		Weekly Written Reporting	IV&V PM	CI's are memorialized and will include: <ul style="list-style-type: none"> ○ Summary ○ Project impact ○ Proposed Action Plan

15	<p>Must interview and observe project management staff and developer staff and observe project meetings and activities to understand the process, procedures, and tools used.</p>	<p>The SES Worksheets provide a standardized, repeatable method to collect relevant data and to perform initial data analysis. The IV&V Team uses them before, during, and after the following activities:</p> <ul style="list-style-type: none"> ▪ Attending project-related meetings either in person or remotely ▪ Conducting interviews either in person or remotely ▪ Performing project artifact product reviews, including vendor deliverables ▪ Observing processes such as test execution <p>The IV&V interviews are used to clarify data gathered through written (product evaluations) or oral (project meetings) communication; and to gather additional stakeholder perspective when the IV&V team has not otherwise been able to assess their involvement. Following is a short sample of a completed interview worksheet with redactions.</p> <table border="1" data-bbox="586 680 1373 1482"> <thead> <tr> <th colspan="3">IV&V Interview Worksheet</th> </tr> </thead> <tbody> <tr> <td>Interview Subject Area(s):</td> <td>Release II DDI Schedule</td> <td>Interview Date/Time:</td> </tr> <tr> <td>Program/SDLC Phase:</td> <td>Development</td> <td>Date Worksheet Completed:</td> </tr> <tr> <td>IV&V Analyst(s):</td> <td></td> <td>Form #:</td> </tr> <tr> <td>Interviewee:</td> <td></td> <td>Date of Interview Notification:</td> </tr> <tr> <td colspan="3">Purpose/Reason for Interview:</td> </tr> <tr> <td colspan="3">Clarify the scheduling consistency of the <u>rebaselined</u> design, development, and testing:</td> </tr> <tr> <td colspan="3"> <ol style="list-style-type: none"> 1. The Board Meeting Presentation, Slide #65 – IT Dashboard, [DATE], informs that UAT and Stakeholder Usability Testing will occur February through June [YEAR]. 2. 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16	<p>Must review and analyze all applicable and available documentation for adherence to accepted, contractually-defined industry standards.</p>	<p>SES has prepared worksheets tailored specifically to the anticipated NE MMIS projects. Our tailoring currently accounts for known policies, regulations and standards; for example, the CMS and MITA Compliance Oversight Checklist Pool (see Section 3.1.4 of this proposal) account for HIPAA and the MITA Seven Conditions and Standards.</p> <p>After contract award we will work with DHHS to further refine them for EES and DMA Projects, and again for each DHHS project during the IV&V Initiation phase. Refinement will include specific standards around each contract.</p>																																																								

Table 5: Independent Assessment and Quality Assurance RFP Section B – Requirements Table Response

RFP Section C – Requirements Response		
i	Address the bidder's approach to meeting each requirement in a table that contains the requirement and the bidder's approach to meeting the requirement	As provided in this table and the Section B Requirements Response table above.
ii	Describe the bidder's approach in detail to IV&V including: a) Project participation at the level of detail necessary to assess the project's health b) Risk, issue, and opportunity management c) Deliverable review and reporting of deliverable findings	a) Section B Requirements Response table above, Requirements #1-16. b) Section B Requirements Response table above, Requirement #1. c) Section B Requirements Response table above, Requirements #1, 5, 6. Section 3.1.6 discussion of deliverables.

RFP Section C – Requirements Response

iii	Explain past challenges and common issues along with the recommendations provided to address the issues	Over the past two decades of oversight and audit work SES has encountered some common denominator issues on major IT projects. The following short list of examples occurred on at least one SES healthcare IT project.		
		Challenge	Issue	Recommendation
		DDI vendor and/or Client stakeholder were apathetic to or were resistant to providing full data access to IV&V	Working copies and baseline versions of artifacts and deliverables resided on multiple repositories and/or on personal computers.	SES successful recommendations included Client and vendor education that IV&V report quality was directly related to full project understanding.
		Incomplete and/or unrealistic project master schedule	DDI vendors did not invest time to adequately decompose deliverable work; and frequently did not provide named resources to each activity.	SES educated Client and vendors that detailed activities and assigned, leveled resources are precursors to realistic schedule estimates.
		Clients accept incomplete DDI schedules	Clients who want to believe proposed DDI schedules are realistic without solid evidence that implementation dates can be achieved.	SES-identified findings that included actionable risks to the Client, and that cited specific schedule data to demonstrate the actual schedule was either unknown or unachievable.
	Lack of PMO leadership in Issue and Risk Management	Issues and risks were discussed routinely; however, action plans were lacking or ineffective. Client/PMO management did not set deadlines and follow up to ensure the critical path to implementation was maintained.	SES risk and issue metrics/scoring in project monthly and/or quarterly reporting that demonstrated increased project risk due to issue and risk management best practice gaps.	

RFP Section C – Requirements Response

<p>iv</p>	<p>Provide examples of opportunities or positive risks reported in past projects where the customer was able to capitalize</p>	<p>STATE DHS MMIS REPLACEMENT EFFORT</p> <p>Background: SES was selected as both the PMO and IV&V vendor of a major development and integration of a State Medicaid Enterprise (SME) effort to replace their legacy MMIS with “best of breed” approach with eight (8) Contractors providing the various components of the Medicaid Enterprise (CORE MMIS, Pharmacy, Provider Enrollment, Member Eligibility, etc.). SES IV&V identified major communication issues within the CORE MMIS Team. There were Contractors consistently performing unnecessary efforts because the CORE MMIS Team were not producing required interface specification docs and not conducting integration meetings to identify and discuss critical interfaces affecting business, data and user requirements.</p> <p>Mitigation Approach: SES IV&V identified the lack of a credible communication plan and communication training. SES reviewed and revised the communication plan and provided training to all State SMEs and Contractors. Training consisted of developing interface specifications and most importantly – introducing standards and mandatory guidelines for conducting Joint Application Design (JAD) sessions for entire Systems Development Life Cycle. Training records were maintained and JAD metrics were implemented.</p> <p>Outcome: Within 3 months, the key communication issues were completely resolved and the CORE MMIS Team became the leader in JADs and exceeded all metrics. The CORE MMIS Team went from the “bottleneck” and biggest project obstacle to a major player in the success of the SME. CMS recognized the SME as the first successful Medicaid Enterprise using multiple contractors to drive down cost and increase efficiency. The Medicaid Director stated that SES was the primary factor enabling the improvement of project communication from a “Poor” rating to an “Outstanding” rating. In addition to highly qualified and competent Contractors, communication was identified as a critical factor of the very successful development and certification of the State’s Medicaid Enterprise.</p> <p>STATE MEDICAID AGENCY MMIS UPGRADE</p> <p>Background: SES was contracted as the IV&V vendor to support the upgrade of the Vendor’s MMIS Core System. The project considered low risk as the Vendor had already implemented the upgrade previously in three states. After 3 months, the project was significantly behind in all milestones; but most importantly, all major quality control gates were unsuccessful. The Contractor claimed to be a Capability Maturity Model Integration (CMMI) Level 3 organization with well-defined and implemented DDI processes. SES identified the lack of progress and lack of quality centered on the Vendor’s process maturity and commitment to the processes. SES IV&V evaluated the Contractor’s process document repository and identified adequate processes for the upgrade. However, the Contractor assigned no staff with experience from their previous successful upgrades and none of the staff had received any training on the Contractor’s DDI processes.</p> <p>Mitigation Approach: SES IV&V provided the State Project Director with a detailed list of corrective action recommendations. The State Project Director met with the Vendor and directed the Contractor to implement the following SES IV&V recommended steps:</p>
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RFP Section C – Requirements Response

- At least 10% of the project hours be performed by individuals with experience on at least two (2) of the Vendors' successful upgrades – those hours to be tracked and reported weekly. SES IV&V was also able to confirm that the Vendor had committed to 15% in their staffing model.
- Contractor to provide proof of CMMI certification or commit to obtain CMMI L3 certification within 1 year.
- Contractor to provide their staff with training on all of their DDI processes and identify process to assess and monitor training effectiveness.
- Implement the Quality Control approach and plan stated within their proposal.
- Identify and track defects with traceability to “root” cause and specific process improvement plan/action that was tracked weekly until improvement is deemed fully implemented by the State.

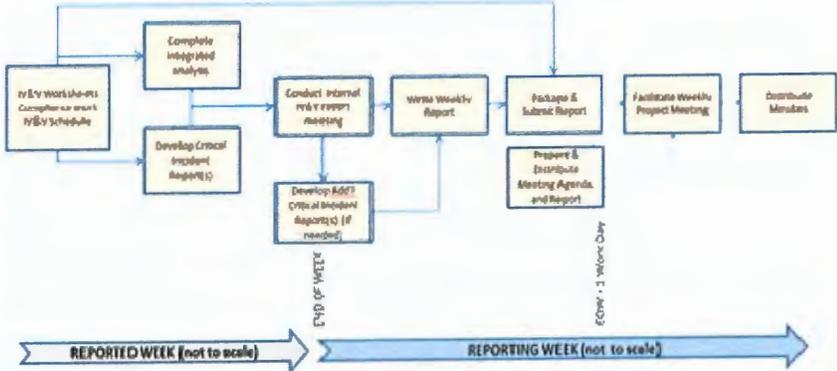
Outcome: In conjunction with our assessment, the Contractor accomplished significant defect reduction leading to an 80% reduction of rework. As a result, the project schedule, cost and quality were brought under control and the upgrade was very successful.

RFP Section C – Requirements Response

v Provide examples of the bidder's deliverable review findings and issue assessments utilized on previous projects	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="background-color: #f4a460; width: 20%;">Finding Number</td> <td>F-PM-MRR01-01</td> </tr> <tr> <td style="background-color: #f4a460;">Finding Name</td> <td>Inadequate Documented Process for Deliverable Management</td> </tr> <tr> <td style="background-color: #f4a460;">Description</td> <td> <p>The [CLIENT] Project does not have a baselined process for managing deliverables from its vendors. There is a draft documented process in place to address the [DDI VENDOR] deliverable; however, it lacks the detail to support deliverables from all [CLIENT] vendors, [DDI VENDOR], [STAKEHOLDER], and [PMO].</p> <p>The purpose of a Deliverable Review and Acceptance Plan is to define how the [CLIENT] deliverable reviews and acceptance process will be performed and managed for documents as well as for deliverables submitted in non-document form. The plan should identify the steps, processes, output artifacts, and resources necessary to efficiently and effectively receive, review and accept [CLIENT] deliverables. 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Table 6: Independent Assessment and Quality Assurance RFP Section C – Requirements Response

3.1.3 IV&V STATUS MEETINGS AND REPORTING

RFP Section B – Requirements Table Response	
Project Management Requirement	SES Approach
<p>Must prepare and submit a weekly status report including activities for the previous week and upcoming activities for the next two weeks that includes the following information:</p> <ul style="list-style-type: none"> • Project meeting participation including an assessment of completed meetings and any recommendations for improvement. • Planned project meetings for IV&V participation. • Project deliverable review activities. • Risks, issues, and opportunities which are new or have been updated since the previous submission. • Updated IV&V schedule • Critical incidents summarizing the incident, impact to the project, and a proposed action plan to address the incident. • Other IV&V activities as defined by DHHS 	<p>SES will generate monthly reports as identified in the RFP. We will continually refine and improve process to improve quality and efficiency.</p> <p>Our reporting is a differentiator that gives you advantage. In fact, all RFP reporting requirements are typical content of SES' many years on large IT projects. Here is our weekly status reporting process with timeline:</p> <div style="text-align: center; border: 1px solid gray; padding: 5px; margin: 10px 0;"> <i>Appendix C is sample Status Reports and Templates</i> </div>  <p>The Weekly IV&V Status Report for each project will include the following minimum content:</p> <ul style="list-style-type: none"> ▪ Past week's meetings attended <ul style="list-style-type: none"> ○ Meetings assessment and IV&V recommendations ▪ Past week's Deliverables reviewed ▪ Planned IV&V activity for the coming two-week period ▪ Key risk and opportunity changes/updates ▪ Key issue changes/updates ▪ Updated IV&V Schedule ▪ Critical Incident Report(s) as needed <ul style="list-style-type: none"> ○ Summary ○ Project impact ○ Proposed Action Plan

2	<p>Must submit each weekly status report by the DHHS established day and time. DHHS will allow a minimum of one business day from the end of the weekly reporting period for submission.</p>	<p>Please also see the weekly reporting process diagram in Requirement #1 immediately above in this table.</p> <p>SES will submit each Weekly IV&V Report within 1 business day (usually on a Monday), or as directed by the State's Project Manager.</p>
3	<p>Must facilitate a weekly IV&V status meeting with DHHS identified project leadership.</p>	<p>SES will prepare materials, facilitate, and provide minutes from the weekly IV&V status meetings per the diagram in Requirement #1 above in this table.</p>

<p>4</p> <p>Must prepare and submit a maximum of five business days after month end a monthly IV&V report that includes the following:</p> <ul style="list-style-type: none"> • Summary of IV&V activities for the past month. • Summary of IV&V activities planned for the next month. • IV&V assessment of the overall project, schedule, budget, scope, and quality status in comparison to the project teams' reported status clearly identifying any differences along with the reasoning. • Additions or updates to executive level risks, issues, and opportunities along with further recommended actions. • Summary assessment of project deliverables and work products reviewed in the last reporting period. • Other IV&V activities as defined by DHHS. 	<p>The Monthly IV&V Status Report for each project will include the following minimum content:</p> <ul style="list-style-type: none"> ▪ Past month's IV&V activity: <ul style="list-style-type: none"> ○ Meetings attended ○ Deliverables and work products evaluated ○ Interviews conducted ▪ Planned IV&V activity for the coming/current month ▪ Summary assessment <ul style="list-style-type: none"> ○ Scope, schedule, budget, and quality assessment comparison with project team reporting ○ Highlight of differences with IV&V assessment rationale ▪ Key risk changes/updates <ul style="list-style-type: none"> ○ Risk impacts and IV&V Recommendations ▪ Key issue changes/updates <ul style="list-style-type: none"> ○ Issue impacts and IV&V Recommendations ▪ Work product/deliverable assessments <p>SES will submit each Monthly IV&V Report within 5 business days.</p> <p>Appendix C contains a monthly report template and a sample monthly report from our previous work.</p> <p>Here is our monthly reporting process diagram with timeline:</p>
<p>5</p> <p>Must facilitate a monthly IV&V report meeting with DHHS identified leadership.</p>	<p>SES will prepare materials, facilitate, and provide minutes from the monthly IV&V report meetings per the diagram in Requirement #4 immediately above in this table.</p>

6	Must create the agenda and take the minutes for any IV&V meetings.	SES will prepare materials, facilitate, and provide minutes from IV&V meetings according to the processes provided in the weekly and monthly IV&V status meetings diagrams in Requirements #1 and #4 above in this table.
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Table 7: IV&V Status Meetings and Reporting RFP Section B – Requirements Table Response

RFP Section C – Requirements Response		
i	Address the bidder's approach to meeting each requirement in a table that contains the requirement and the bidder's approach to meeting the requirement.	As provided in this table and the Section B Requirements Response table above.
ii	Describe the bidder's process for capturing detailed status on project activities (i.e., scheduled tasks, risks, issues, staffing, communications, etc.) at a detailed level and reporting the information as needed based on the reporting audience.	See Section 3.1.1, RFP Section C Table, Items #i and ii. See Section 3.1.2, RFP Section B Table, Items #1-16; and Section C Table, Item #v.

RFP Section C – Requirements Response

<p>iii Describe the bidder's methods for determining and reporting overall project, schedule, budget, scope, and quality status (i.e., determining whether a project is red, yellow, or green, and providing defined criteria as to what constitutes each type of status).</p>	<p>See Items #1 and 4 above in the Section B Table in this Section. SES proposes summary scoring of each project's constraints (schedule, budget, scope, and quality) according to the "stoplight" criteria in the table below.</p>	
	Oversight Area Score	IV&V Scoring Guidelines
	<p>GREEN Good</p>	<ul style="list-style-type: none"> ▪ Processes meet expected implementation standards. ▪ Processes are largely compliant with established standard(s). ▪ There is evidence that processes are largely used. ▪ The processes largely achieve desired results. ▪ There may be other practices to enhance effectiveness. ▪ There may be one or more Findings associated with this Oversight Area ▪ Any findings collectively do not present significant project risk.
	<p>YELLOW Marginal</p>	<ul style="list-style-type: none"> ▪ Processes marginally meet expected implementation standards. ▪ Processes are partially compliant with established standard(s). ▪ There is evidence that the processes are only partially used. ▪ The processes do not achieve most desired results. ▪ There are other practices for effective implementation. ▪ There may be one or more findings associated with this Oversight Area. ▪ Any findings collectively present significant project risk.
<p>RED Unsatisfactory</p>	<ul style="list-style-type: none"> ▪ Processes do not meet expected implementation standards. ▪ Processes are not compliant with established standard(s). ▪ There is evidence that the processes are not used. ▪ The processes do not achieve desired results. ▪ There are other practices for effective implementation. ▪ Findings are associated with this Oversight Area. ▪ Findings collectively present critical project risk. 	

RFP Section C – Requirements Response		
iv	Provide the bidder's status report templates, including instructions and procedures for completing the templates.	See Appendix C.
v	Provide examples of similar weekly status reports used in previous projects.	See Appendix C.
vi	Provide examples of the IV&V's previous monthly status reports from other projects.	See Appendix C.

Table 8: IV&V Status Meetings and Reporting RFP Section C – Requirements Response



3.1.4 CMS AND MITA COMPLIANCE

RFP Section B – Requirements Table Response	
Project Management Requirement	SES Approach
<p>1 Must provide IV&V services for CMS in support of the MECL in accordance with guidance to be released in the new MECT.</p>	<p>See also Requirement #8 below in this table.</p> <p>SES is fully informed and up-to-date regarding changes in the Medicaid Enterprise Certification Life Cycle. The table below demonstrates the consistency between the new MECL and the lifecycle descriptions in the sub-sections that follow; our approach to project management aligns with CMS as well as with other, long-standing industry best practices, and therefore exceeds the CMS requirements for Medicaid project management of IV&V.</p> <p>See also the MECL phase relationships table in Section 3.1, RFP Section C Table, Item i.</p> <p>Our checklist tailoring for DHHS provides the solid assessment basis required:</p> <ul style="list-style-type: none"> ○ <i>Selecting Checklist questions</i> based on requirements that are mandatory for a Medicaid agency and must be supported by the MMIS. ○ <i>Tailoring Checklists for APD Use</i>, which involves review of each applicable checklist; the business objectives (federally developed checklists are required and non-federally developed checklists are not); and the detailed system review criteria. ○ <i>Completing the APD Checklists</i> to ensure consideration of the magnitude and complexity of the proposed MMIS solution to be developed; and to verify that the new MMIS will satisfy all business objectives of the Medicaid program – Federal- and NE State-specific. ○ <i>Reviewing the APD Checklists</i> to verify that they will ensure that all Federal and State-specific MMIS requirements are met, resulting in improved support to the Medicaid enterprise. <p>SES IV&V brings broad experience specifically with providing oversight and UAT assistance for Eligibility/Enrollment and MMIS. We also have provided:</p> <ul style="list-style-type: none"> ✓ MITA and CMS Certifications/Attestations ✓ ICD-10 services ✓ HIPAA 4010-to-5010 upgrade service and support ✓ Hands-on use of CMS Certification Toolkit (MECT) ✓ All pertinent documentation for the CMS Certification process (define, identify, collect and organize). ✓ Agency staff coordination to meet specific CMS requirements. ✓ Direction to the client team during Certification visits to ensure that CMS needs are met. ✓ Team building exercises throughout the project. ✓ SME staff includes sub-specialty level knowledge in areas such as MITA and ICD10.

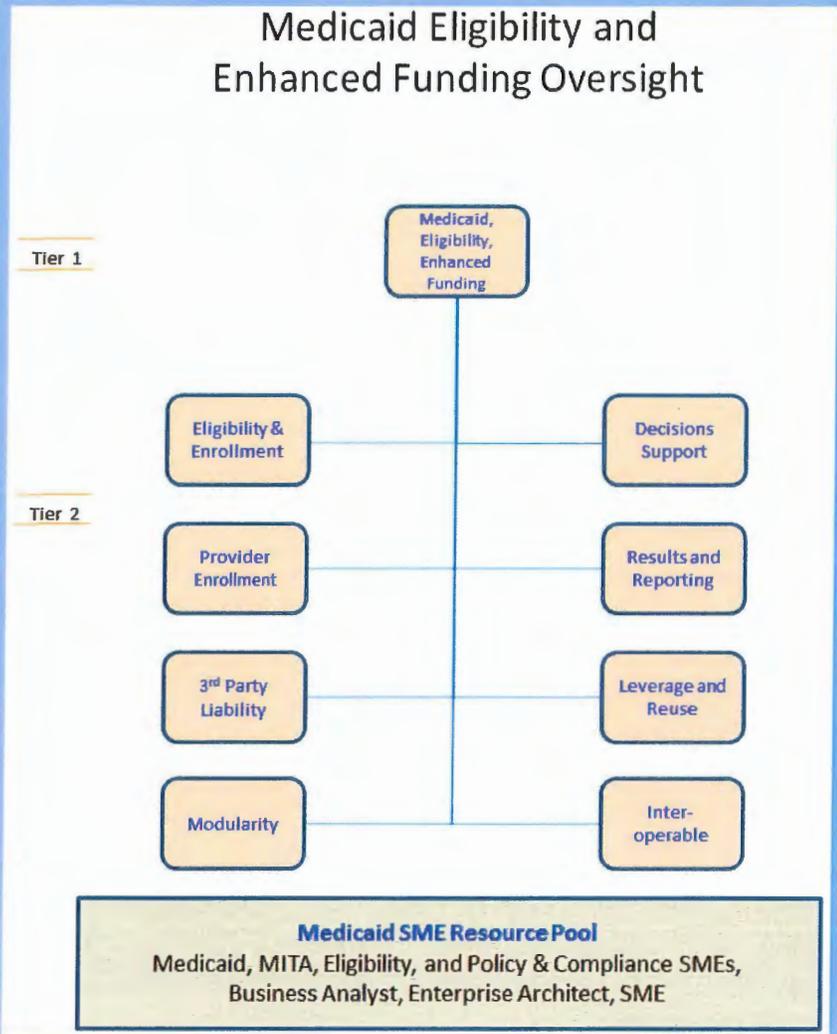
2	<p>Must periodically, as needed, produce exception based Certification Progress Reports in the format required by CMS. The report must utilize the MECT checklists and MMIS Critical Success Factors (CSFs) and must objectively illustrate the strengths and weaknesses of the project and provide recommendations for correcting any identified weakness.</p>	<p>See also Section 3.1.6, RFP Section C Table, Item #i.</p> <p>The MECT checklists and CSFs are integrated into our IV&V Oversight checklists as described in Requirement #1 above in this table.</p> <p>See also a summary of our related oversight checklists at Requirement #6 below in this table.</p> <p>The SES reporting has always, and will continue, to score the project in order to reflect its strengths and weaknesses; its risks; and the actionable recommendations from IV&V in order to close gaps.</p>
3	<p>Must submit the monthly IV&V report to CMS.</p>	<p>See Section 3.1.3, RFP Section B Table, Requirement #4. SES will submit reports simultaneously to CMS and to the independent Nebraska State agency appointed to receive it.</p>
4	<p>Must participate in meetings with CMS as directed by CMS or DHHS.</p>	<p>SES compliance management is built into the IV&V project schedule, and will drive our management effort. The DHHS project schedules will align with the master schedule for each project over which we provide IV&V services; within that framework it will specify our activities and highly skilled resources around the major CMS compliance requirements, not just attendance at meetings:</p> <ul style="list-style-type: none"> ✓ Formal CMS phase gate reviews ✓ IV&V support of all CMS activities ✓ Schedule updates to accommodate changes/additions to IV&V support to CMS ✓ Certification Progress Reports as a planned component of our deliverables on an as-needed basis ✓ Support and attendance at all project meetings ✓ IV&V schedule of oversight emphasizing CMS milestones ✓ SME support for CMS compliance meetings, demos, phase gates etc. ✓ Highly qualified IV&V Project Managers with CMS project experience to provide dashboard data input and lead CMS-driven deliverable development and submission
5	<p>As directed by DHHS, must coordinate and participate in the planning, preparation, and performance of CMS project reviews (Gate reviews, readiness reviews, certification reviews, etc.).</p>	<p>See Requirement #4 immediately above.</p>

6	<p>In preparation for certification milestone reviews, must evaluate documents and evidence along with any working modules / code applicable to that particular review, and complete the reviewer comments portion of the relevant Medicaid Enterprise Certification Checklists. The completed checklists are appended to the Certification Progress Report. Progress report must be delivered with the necessary lead time as required by CMS prior to the scheduled MMIS certification milestone review. The certification progress reports must be provided to CMS at the same time they are presented to the state.</p>	<p>See Requirement #3 above in this table.</p> <p>See Section 3.1.1 discussion of the IV&V project schedule.</p> <p>See Section 3.1.2, RFP Section B Table, Requirement #6.</p> <p>See Section 3.1.5, RFP Section B Table's process flow diagram that includes progress reporting and certification activities in the CMS life cycle (MECL).</p> <p>The SES oversight process is designed to thoroughly prepare for certification milestone reviews. Our Product Evaluation activities and resulting Worksheets include any necessary risks, recommendations and action plans. All of our analyses appear in the reporting described in Section 3.1.6 below.</p> <p>All of our checklist work is designed to prepare the project for CMS milestones, certifications and associated reporting requirements and assessments. Briefly, are the more relevant Oversight Areas:</p> <p><u>SES IV&V Medicaid, Eligibility, Enhance Funding Pool Oversight Areas</u></p> <p>MITA Modularity - Modular, flexible development approach; open interfaces; exposed API; business rules separate from core programming; rules are in human and machine-readable formats. Formal system development methodology; open, reusable architecture</p> <p>MITA Condition - Aligns to and advances increasingly in MITA maturity for business, architecture, and data</p> <p>MITA Industry Standards - Industry standards alignment; HIPAA security/privacy/transaction standards; Section 508 or greater accessibility; civil rights laws compliance; Sections 1104 and 1561 ACA standards</p> <p>MITA Leverage - Solutions promote sharing, leverage, and reuse of Medicaid technologies and systems within and among States</p> <p>MITA Business Results - Systems support accurate and timely claims processing including eligibility claims and adjudications; there are effective communications with providers, beneficiaries, and the public</p> <p>MITA Reporting - Solutions produce transaction data, reports, and performance information that contribute to program evaluation, continuous improvement in business operations, and transparency and accountability</p> <p>MITA Interoperability - Seamless coordination and integration with the federal/state Exchange; interoperable with health information exchanges, public health agencies, human services programs, and community outreach organizations</p>
7	<p>Must periodically submit project progress data to the CMS dashboard on a schedule required by CMS.</p>	<p>See Requirement #4 above in this table.</p>

8 Must assess impacts of projects to MITA business, informational, and technical architecture maturity.

MITA impact to DHHS projects requires that SES perform thorough assessment of all related knowledge areas. Although in reality all aspects of each project will impact MITA maturity, our tailored Medicaid Oversight area is most directly designed to make the necessary assessments.

The diagram below depicts the SES proposed tiered approach to organize for the Medicaid Pool; it shows the relationship between Labor Categories, and the Medicaid SME Resource Pool and Oversight Task Areas. Thorough and reliable Medicaid-related oversight by our experienced team of specialists is designed specifically to ensure the DHHS achieves or exceeds thresholds required for Enhanced Federal Funding. This Oversight Pool includes oversight and reporting for MMIS Critical Success Factors and the MECT criteria for certification.



9	<p>Must track traceability of project activities and requirements through the entire project to CMS critical success factors and certification checklist criteria as applicable to the project to secure ongoing enhanced funding.</p>	<p>The SES bi-directional traceability process will provide the needed enhanced funding verification, including CMS CSFs. The certification checklists must and will be attached to certification reports to CMS.</p> <p>See also Section 3.1.2, RFP Section B Table, Requirements #11, 12.</p>
10	<p>Must perform all functions required by CMS for all CMS reviews.</p>	<p>Please also refer to Section 2.8 of this proposal for additional details on our experience on projects with CMS as a sponsor/stakeholder.</p> <p>SES understands that CMS certification is a federal program designed to help states engage, in a collaborative manner, from the initial planning for MMIS system improvements through the final achievement of certification. We will fulfill any and all functions CMS requires of IV&V, including our assessments; and the CMS review preparation, execution, and reporting.</p>
11	<p>Must coordinate certification activities for the project including review of certification packet materials from the DMA implementation contractor. Must evaluate and make recommendations about the state artifacts that are required for MMIS certification milestone reviews. A list of required artifacts is included in the CMS Medicaid Enterprise Certification Toolkit.</p>	<p>See also the Section 3.1, RFP Section C table, Item ii (product evaluations).</p> <p>See also Requirement #6 above in this table for the MITA activities supporting certification.</p> <p>Our evaluations of State artifacts are a standard activity in all four of our Oversight Checklist Pool Areas:</p> <ol style="list-style-type: none"> 1. Project Management 2. Medicaid, Eligibility and Enhanced Funding 3. Technical Architecture, Development and Test 4. Compliance and Certification <p>Our Compliance and Certification Oversight Pool is comprised of the following Oversight Areas:</p> <ol style="list-style-type: none"> 1. Data Protection 2. MITA Condition 3. System Integration Testing 4. Interface Testing 5. Acceptance and Turnover 6. Implementation 7. Quality Assurance 8. Process & Product Definition
12	<p>Must review all new or updated documentation, guidance, and rules promulgated by CMS applicable to the project and provide summary impacts to the project along with any recommendations.</p>	<p>SES will continue to monitor CMS web site during each project's life cycles:</p> <ul style="list-style-type: none"> ▪ Modifying the checklists where necessary ▪ Keeping the business objectives sections of the checklists current ▪ Providing a basis for the State Certification readiness

13	Must perform any IV&V services and roles required by CMS or DHHS necessary to secure the enhanced funding.	We will fulfill any and all functions CMS requires of IV&V, including our assessments; and the CMS review preparation, execution, and reporting. SES will assist DHHS with services to prepare for enhanced funding.
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Table 9: CMS and MITA Compliance RFP Section B – Requirements Table Response

RFP Section C – Requirements Response		
i	Address the bidder's approach to meeting each requirement in a table that contains the requirement and the contractor's approach to meeting the requirement.	As provided in this table and the Section B Requirements Response table above.
ii	Describe the bidder's understanding of CMS' expectations for an IV&V contractor and approach to compliance with CMS expectations.	<p>The CMS expectations for IV&V can be summarized from the 45 CFR 95.626 requirements:</p> <ul style="list-style-type: none"> ✓ Provide independent reporting to CMS ✓ Establish and maintain thorough Project Management Plans and an IV&V Schedule ✓ Are prepared for a scope of work that includes assessing and making recommendations for management of both DHHS and its vendors ✓ Consult with and engage project internal and external stakeholders ✓ Assess risks across all project constraints (cost, schedule, quality, resources) ✓ Provide metrics as an integral part of IV&V reporting that clearly convey project progress toward achieving goals, objectives, and critical success factors

RFP Section C – Requirements Response

iii	Describe in detail the bidder's approach to supporting the CMS gate review process for the EES project.	<p>CMS gate reviews are structured around the new 4-phase life cycle as specified in the Medicaid Enterprise Certification Life Cycle (MECL). The phases and the key CMS reviews are summarized in the table below.</p> <table border="1" data-bbox="479 378 1006 1003"> <thead> <tr> <th>CMS PHASE</th> <th>CMS REVIEW</th> </tr> </thead> <tbody> <tr> <td>Initiation and Planning</td> <td>-</td> </tr> <tr> <td>Initiation and Planning</td> <td>Initiation Milestone reviews</td> </tr> <tr> <td>Initiation and Planning</td> <td></td> </tr> <tr> <td>Requirements, Design and Development,</td> <td>-</td> </tr> <tr> <td>Requirements, Design and Development,</td> <td>Operational Milestone Reviews</td> </tr> <tr> <td>Integration, Test and Implementation</td> <td>-</td> </tr> <tr> <td>Integration, Test and Implementation</td> <td>Operational Milestone Reviews</td> </tr> <tr> <td>Operations and Maintenance</td> <td>Certification Final Review(s) Certification Decision</td> </tr> </tbody> </table> <p>According to the Medicaid Enterprise Certification Toolkit (MECT v2.0), IV&V will support Milestone Reviews:</p> <ol style="list-style-type: none"> 1. Gather and assess information via interviews and other means. See Section 3.1.1 RFP Section C table. 2. Complete the Reviewer Comment checklist pieces. 3. Write IV&V portion of Progress Report. See Section 3.1.3 RFP Section C table. 4. Send report to CMS and State simultaneously. See RFP Section B table, Requirement #3 above in this Section 3.1.4. 	CMS PHASE	CMS REVIEW	Initiation and Planning	-	Initiation and Planning	Initiation Milestone reviews	Initiation and Planning		Requirements, Design and Development,	-	Requirements, Design and Development,	Operational Milestone Reviews	Integration, Test and Implementation	-	Integration, Test and Implementation	Operational Milestone Reviews	Operations and Maintenance	Certification Final Review(s) Certification Decision
CMS PHASE	CMS REVIEW																			
Initiation and Planning	-																			
Initiation and Planning	Initiation Milestone reviews																			
Initiation and Planning																				
Requirements, Design and Development,	-																			
Requirements, Design and Development,	Operational Milestone Reviews																			
Integration, Test and Implementation	-																			
Integration, Test and Implementation	Operational Milestone Reviews																			
Operations and Maintenance	Certification Final Review(s) Certification Decision																			
iv	Describe in detail the bidder's approach to coordination of the CMS certification of the DMA project.	<p>Our methodology works equally well to support DMA, EES and any other anticipated DHHS projects.</p> <p>Checklist tailoring will be coordinated with the DMA Project Manager and DHHS as needed to ensure proper emphasis is given to requirements specific to the DMA project; these may include, for example, the extensive external stakeholder network to be supported by the analytics.</p> <p>Our checklist tailoring especially takes into account the most recent changes and updates that are necessary to comply with CMS reviews and other activities; some of the more noteworthy CMS requirements include:</p> <ul style="list-style-type: none"> ✓ Our Project Management Oversight Pool of checklists incorporates the CMS certification checklists for the Programmatic Critical Success Factors (CSFs) described in the Medicaid Enterprise Certification Life Cycle (MECT) version 2.0, March 2016. ✓ Our CMS and MITA Compliance Pool of checklists will incorporate the CMS certification checklists for the MMIS CSFs. ✓ Our life cycle approach aligns with, and will fully support the new CMS 4-phase life cycle. ✓ Our work plan (schedule) will reflect activities supporting both the CMS Certification Progress Reports and the Milestone Reviews for DMA. 																		

RFP Section C – Requirements Response		
v	Describe the bidder's approach to assessing the impacts of a project on MITA maturity levels.	The SES IV&V approach uses a mature, repeatable oversight process to assess all aspects of the project, including managerially and technically. Our Medicaid Eligibility and Enhanced Funding Oversight Pool includes all seven (7) of the MITA Conditions and Standards; see for example Requirements #6 and 8 in the RFP Section B table above in this section.
vi	Describe the bidder's approach to monitoring for documentation, guidance, and regulations from CMS.	See Requirements #10 and 12 in the RFP Section B table above in this section.

Table 10: CMS and MITA Compliance RFP Section B – Requirements Table Response



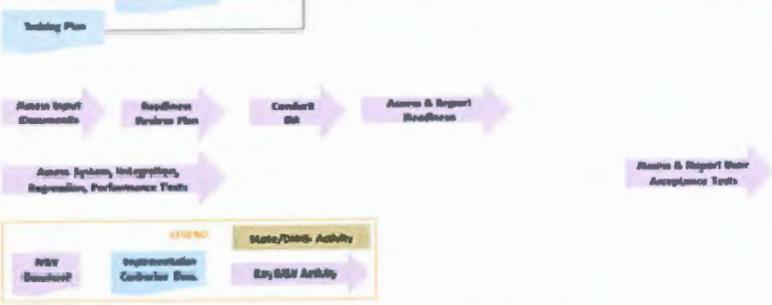
3.1.5 OPERATIONAL AND SYSTEM READINESS

RFP Section B – Requirements Table Response	
Project Management Requirement	SES Approach
<p>1</p> <p>Must assess project testing activities including test scenarios, cases, and results including traceability of testing to project requirements. Assessment must include whether additional test scenarios or cases are needed to sufficiently test the project requirements.</p>	<p>The Implementation Readiness Review is a Go/No-Go event to proceed in earnest with user testing. Prior to the IRR, IV&V has performed product evaluations of all Implementation Contractor deliverables and plans; and reviewed, assessed and reported on all previous test phases. After a successful IRR decision, IV&V assesses User Acceptance Testing (UAT). The Implementation/Operational Readiness Process diagram above shows pre- and post-IRR; UAT; and finally the move into Operational Readiness Review.</p> <p>Throughout all test phases there are two Oversight Checklist Pools ensuring complete IV&V test assessments:</p> <ol style="list-style-type: none"> 1. The Compliance and Certification Oversight Checklist Pool directly guides test data collection, analysis and reporting; it includes separate Task Areas for System Integration Testing; Interface Testing; and Acceptance and Turnover. Each of those Task Areas is comprised of a checklist question set to ensure we consider and report on: <ul style="list-style-type: none"> ▪ An implemented Test Plan ▪ Necessity and sufficiency of test scenarios and scripts ▪ Proper Entrance and Exit criteria ▪ Effective test scheduling ▪ A sound defect management process with time explicitly allocated for defect correction and re-test ▪ Complete test reporting 2. The Technical Architecture, Development and Test Oversight Checklist Pool includes the Requirements Analysis Task Area to ensure we assess and report on complete, bi-directional requirements traceability.
<p>2</p> <p>Must assess defect resolution and retesting activities to validate defect was appropriately resolved</p>	<p>See Requirement #1 immediately above.</p>

3	<p>Must develop and submit a comprehensive System and Business Operations Readiness Review Plan work product for each project for Department approval a minimum of 90 days prior to the acceptance testing schedule date in the project work plan.</p>	<p>See also Appendix D.</p> <p>Our integrated IV&V schedule will be submitted for approval during each Project's Initiation Phase. It will include submission of the required Readiness Review Plan for each project.</p>
4	<p>Must conduct a system and business operational readiness review and assessment and provide the results to DHHS.</p>	<p>See also Requirement #3 immediately above.</p> <p>The SES approach to implementation readiness is to ensure all necessary plans and documents are prepared; design and build are complete; all Implementation Contractor testing results are acceptable to the State and CMS; and any other approved UAT Entrance Requirements have been met.</p> <p>The Readiness diagram in RFP Section C Table, Item ii immediately below shows the major required input documents and plans for IRR and ORR for every project; please note it is not intended to depict every ongoing project activity, but rather shows the key activities for:</p> <ul style="list-style-type: none"> ▪ IV&V to prepare and conduct a system/business assessment that prepares the project for a CMS-compliant Implementation Readiness Review ▪ Conducting the Review ▪ Assessing and reporting outcomes ▪ Proceeding to User Acceptance Testing and Operational Readiness Review <p>During IRR and ORR the Compliance and Certification Oversight Checklist's Implementation Task Area question set guides IV&V assessments of readiness planning and reporting.</p>

Table 11: RFP Operational and System Readiness RFP Section B – Requirements Table Response

RFP Section C – Requirements Response

i	<p>Address the bidder's approach to meeting each requirement in a table that contains the requirement and the bidder's approach to meeting the requirement.</p>	<p>As provided in this table and the Section B Requirements Response table above.</p>
ii	<p>Describe the bidder's approach to operational and systems readiness.</p>	 <p>The diagram above shows our detailed view of implementation readiness and into operational readiness that aligns with the CMS Integration, Test, and Implementation life cycle Phase.</p>
iii	<p>Provide an example of a readiness review plan utilized for other projects.</p>	<p>See Appendix D.</p>

RFP Section C – Requirements Response	
iv	<p>Provide examples of operation and system readiness review reports used on previous projects.</p> <p>See Appendix D.</p>

Table 12: RFP Operational and System Readiness RFP Section C – Requirements Response

3.1.6 IV&V DELIVERABLES AND WORK PRODUCTS

RFP Section B – Requirements Table Response	
Project Management Requirement	SES Approach
1	<p>For each project, must fulfill all IV&V contractor responsibilities and submit a monthly deliverable including activities and work products completed within the month:</p> <ul style="list-style-type: none"> • The monthly IV&V report • Weekly status report materials for the month • IV&V project work product and deliverable assessments completed within the month • Critical incident reports • Requirements traceability matrix updates • CMS and MITA compliance activities • IV&V work plan updates • IV&V work products <p>See Appendix C for template and a sample of the Monthly IV&V Report.</p> <p>SES understands that all submission requirements are to be consolidated as a single monthly Deliverable for approval as a group. In keeping with Independent Assessment requirements (Section 3.1.2, Project Management Oversight Pool, Project Management Task Area of this proposal) we will report Critical Incidents if/when necessary. Weekly Status Reports will be delivered on a weekly schedule as determined per project with our client Project Manager.</p> <p>In addition to the list of required components for the monthly deliverable (listed as #1 in the Requirement Summary Table above), IV&V will submit our Product Evaluation Worksheet(s) for all requested Assessments; the Worksheets include all required components of the deliverable/product assessments.</p> <ol style="list-style-type: none"> 1. Review project deliverables and other work products as assigned by DHHS. 2. Submit separate assessments of each Deliverable as a part of our integrated monthly IV&V reporting deliverable. 3. Submit Certification Progress Reports per the Section 3.1.4 Requirements Summary Table, Items #2 and #6 as needed and in a format prescribed by CMS.

2	Must perform work and submit work products and deliverables for State review and approval in accordance with the approved IV&V work plan scheduled dates.	<p>SES will adhere to its own schedule as approved by the State.</p> <p>SES will produce a separate schedule for each project. As with the sample schedule at Appendix A, it will be deliverables-based with:</p> <ul style="list-style-type: none"> ▪ Estimated and actual start and end dates ▪ Approval milestones ▪ Percent complete ▪ Assigned IV&V resources per activity
3	Must provide a tracking capability for tracking of work product and deliverable submission and review status.	<p>The IV&V schedule will provide tracking of IV&V deliverables with actual start/end dates and percent complete. Each deliverable will have separate activities for:</p> <ul style="list-style-type: none"> ▪ IV&V draft submission ▪ State review and comment ▪ IV&V corrections of any errors of fact ▪ IV&V Final submission for State approval ▪ Approved deliverable milestone
4	Must submit any changes to previously approved deliverables for approval through the review process.	Changes to requirements traceability and any other dynamic content in previously-approved deliverables will be provided as a part of each subsequent consolidated monthly deliverable.

Table 13: IV&V Deliverables and Work Products RFP Section B – Requirements Table Response

RFP Section C – Requirements Response		
i		<p>As provided in this table and the Section B Requirements Response table above.</p> <p>In addition to the list of required components for the monthly deliverable (listed as Requirement #1 in the RFP Section B Table immediately above), IV&V will submit our Product Evaluation Worksheet(s) for all requested Assessments; the Worksheets include all required components of the deliverable/product assessments; please see also the Product Evaluation Worksheet Template, Section 3.1.2, RFP Section B Table, Requirement #15.</p> <ol style="list-style-type: none"> 1. Review project deliverables and other work products as assigned by DHHS. 2. Submit separate assessments of each as a part of our integrated monthly IV&V reporting deliverable. 3. Submit Certification Progress Reports per the Section 3.1.4 RFP Section B Table, Items #2 and 6, as needed and in a format to be prescribed by CMS.

Table 14: IV&V Deliverables and Work Products RFP Section C – Requirements Response

3.2 ORGANIZATIONAL STAFFING

	Staffing Requirement	SES Approach
1	Must provide an organizational structure which reflects coordinated activities among DHHS, IV&V, EES, DMA and other contractors.	Section 3.2.1 Section 3.2.2 Section 3.2.3
2	Must provide criminal background investigations on all personnel and follow-up investigations every five years. Must report on individuals who have criminal activity identified to DHHS.	Section 3.2.4
3	Must provide all key positions identified IV.C.1.	Section 3.2.2
4	Must maintain an Organizational Chart and project contact list.	Section 3.2.2
5	Must acquire DHHS approval for key staff and key staff replacements.	Section 3.2.2 Section 3.2.4
6	Must not reassign or replace key personnel without the prior written approval of DHHS.	Section 3.2.4
7	Must provide monthly IV&V staff as proposed.	Section 3.2.3

Table 15: RFP Section IV.C Organizational Staffing Requirements Summary Table

We have carefully considered how our staffing will be organized and integrated into the overall structure. While our diagrams and tables cannot account for every possible requirement for coordination during a long, large and complex portfolio of projects, in the sub-sections below we demonstrate our staffing vision and organization consistent with the requirements above. SES will of course remain flexible to meet the staffing demands of all potential DHHS/MLTC projects.

3.2.1 STAFFING CONCEPT

We have designed the IV&V organizational team with dedicated resources for the EES and DMA projects, respectively; these teams are staffed according to our understanding of the scope of work of each project; each core team meets the requirements for key positions.

An integral part of our staffing plan is the two (2) staff pools to enhance our dedicated core on-site teams. Together we are confident that DHHS will receive added value and staff performance:

3. Real experts in specific subject matter areas that NE MMIS needs to provide in-depth assessment and oversight.
4. SES Corporate specialists to support the IV&V effort.

The concept diagram immediately below lays out our overall approach to staffing.

Staffing Concept – NE MMIS Mandatory Projects

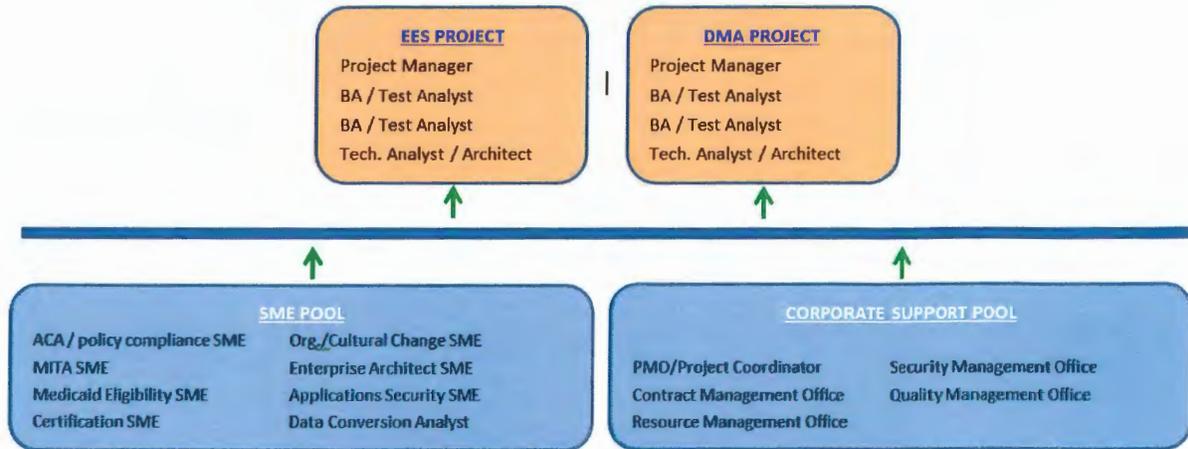


Figure 4: Staffing Approach

3.2.2 COORDINATION OF ACTIVITIES

Below are two (2) organizational charts for the DMA and EES projects, respectively. SES will ensure these charts are kept up-to-date throughout the respective projects.

Our organizational charts also communicate a broad view of key stakeholders with whom each project interacts; Further below we present specific details of the types of communications that occur between each IV&V Key Staff position and staff pools.

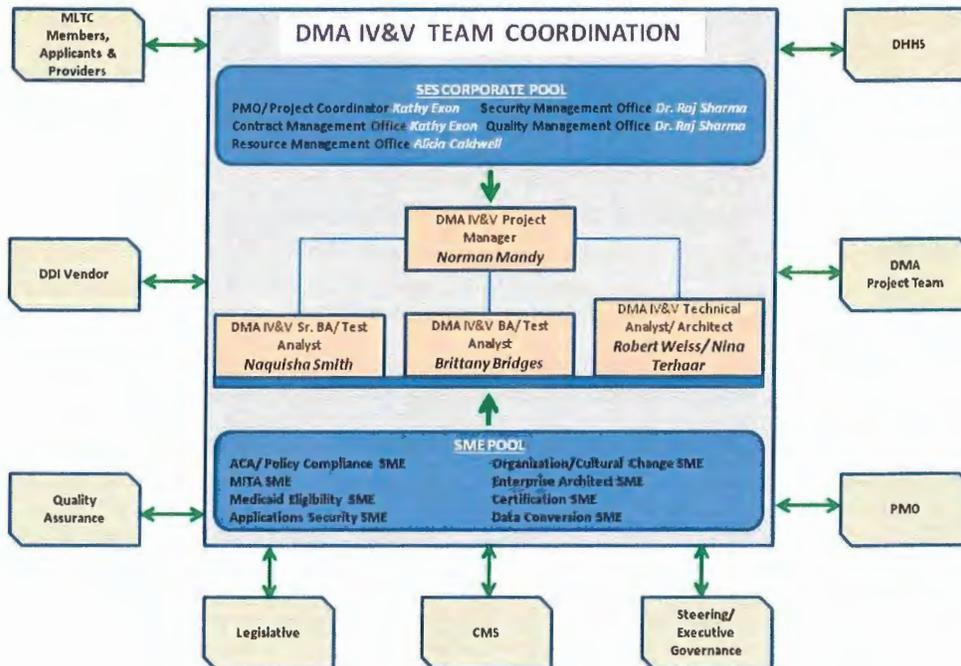


Figure 5: DMA Organization Chart

Key DMA staff approval will be inherent upon contract award, which includes the named staff provided in this proposal.

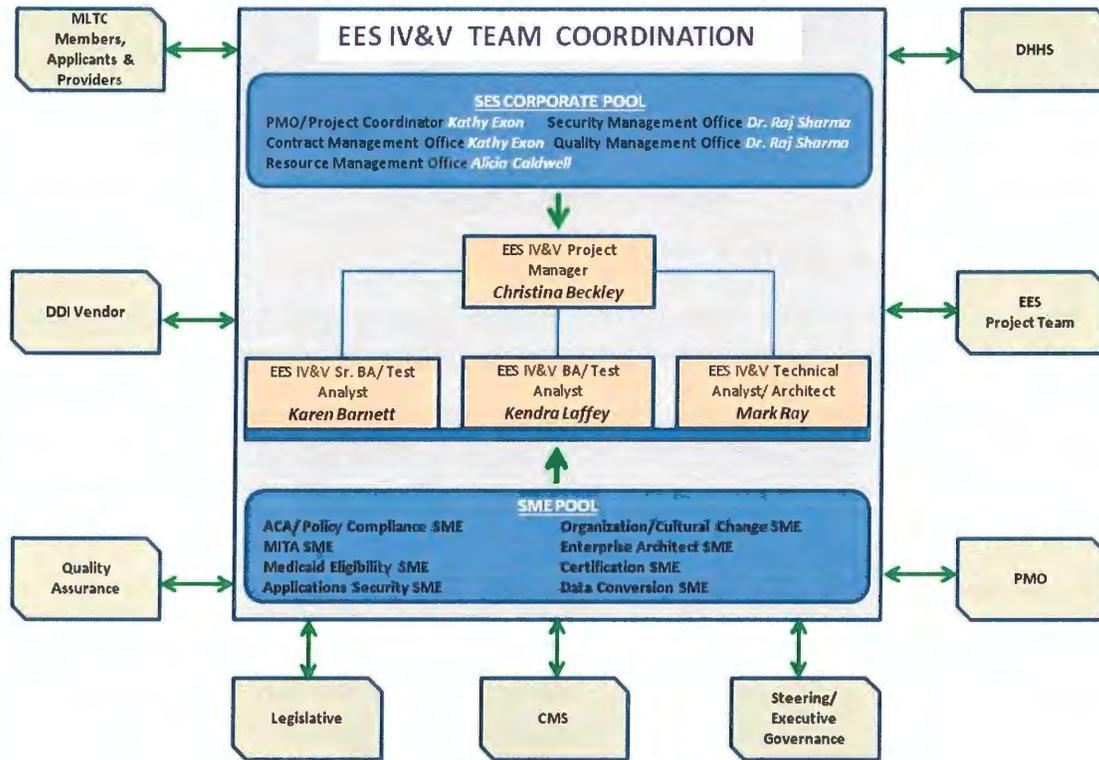


Figure 6: EES Organization Chart

Key EES staff approval will be inherent upon contract award, which includes the named staff provided in this proposal.

3.2.3 IV&V STRUCTURE SUPPORTS PROJECT COORDINATION

The table below identifies many, but certainly not all – of expected recurring EES and DMA project activities. SES provides this table to demonstrate how our IV&V project and corporate team structures fully support required coordination with stakeholders external to the IV&V team, including State staff and contractors.

IV&V STAFF	COORDINATION ACTIVITY (KEY STAKEHOLDERS)
EES IV&V PM	Governance Meeting (EES and DHHS Directors/PMs) Deliverable submission (per EES governance model)

	Project Management Team Meeting (EES PM, Vendor PMs) Schedule/Rolling Wave meetings (Vendor PMs/PMOs) Status meetings - IV&V Status Reporting (per EES governance model) CMS Certification Milestone Reviews (CMS, EES, Vendors) Staffing and personnel approvals and coordination (DHHS)
EES IV&V BA/ Test Analysts	Technical Meetings (EES BA's, Vendor DDI teams) Interviews (EES and Vendor team members) Observe testing and demonstrations (Vendor DDI and QA) CMS Certification Milestone Reviews (CMS, EES, Vendors)
EES IV&V Architect	Technical Meetings (EES and Vendor DDI teams) Interviews (EES and Vendor team members) CMS Certification Milestone Reviews (CMS, EES, Vendors)
EES SME Pool	Technical meetings and interviews as needed (EES/Vendor teams) CMS Cert. Milestone Reviews as needed (CMS, EES, DHHS, Vendors)
DMA IV&V PM	Governance Meeting (DMA and DHHS Directors/PMs) Deliverable submission (per DMA governance model) Project Management Team Meeting (DMA PM, Vendor PMs) Schedule/Rolling Wave meetings (Vendor PMs/PMOs) Status meetings - IV&V Status Reporting (per DMA governance model) CMS Certification Milestone Reviews (CMS, DMA, Vendors) Staffing and personnel approvals and coordination (DHHS)
DMA IV&V BA/ Test Analysts	Technical Meetings (DMA BA's, Vendor DDI teams) Interviews (DMA and Vendor team members) Observe testing and demonstrations (Vendor DDI and QA) CMS Certification Milestone Reviews (CMS, DMA, Vendors)
DMA IV&V Architect	Technical Meetings (DMA and Vendor DDI teams) Interviews (DMA and Vendor team members) CMS Certification Milestone Reviews (CMS, DMA, Vendors)
DMA SME Pool	Technical meetings and interviews as needed (DMA/Vendor teams) CMS Cert. Milestone Reviews as needed (CMS, DMA, Vendors)
SES Corporate Pool	Schedule/Rolling Wave Meetings (Vendor PMs/PMOs) Communicate/coordinate IV&V involvement On-Demand contract, resource and executive request/concern CMS Cert. Milestone Reviews as needed (CMS, DMA, Vendors) Staffing and personnel approvals and coordination, if needed (DHHS)

Table 16: Project Activity and Coordination

3.2.4 OTHER STAFFING CONSIDERATIONS

Our staffing approach offers broad expertise, but also increases value by eliminating unneeded staff expense. SES will diligently comply with the other staffing requirements presented in the RFP:

- Initiate criminal background investigations immediately after award and every five (5) years thereafter.
- Report results of criminal background investigations.
- Provide a list of all personnel supporting the DMA and EES projects that includes contact information, as a part of the project start-up procedures.
- Receive prior approval to the extent it is within our control for staff replacement in the unlikely event that a staff becomes unavailable.



3.3 LOGISTICS

SES Corporate facility is located in Bellevue, Nebraska. Over 25,000 sq. ft, our headquarters support Department of Defense (DoD) US Air Force and US Army contracts that contain Top Secret classified information. To meet DoD's requirement for a secured premises, SES Corporate facility has controlled entry, and SES resources use keyed-access cards to enter the SES work area. All entry into the SES facility is logged and tracked via the controlled entry software. Additionally, the building is fully alarmed and employs active security cameras. SES system network meets DoD standards with certified anti-virus, firewalls and intrusion detection software. SES use encrypted software and trusted certificates for protection of controlled and classified communication.

SES Core Project Team will be working 100% on-site at the DHHS facility, and no sensitive DHHS information will be remotely accessed by the SES Core Project Team. SES off-site work will be primarily performed at the SES Bellevue Corporate facility by Project Team II (SES SME and SES Corporate Support Pools). Access to any DHHS repositories will be controlled by individuals that are fully trained in handling of DHHS' sensitive information. Furthermore, the SES Core Team PM will ensure that none of the SES off-site resources have access to any DHHS sensitive information at any time. Our handling and protection of DHHS data is further discussed in Section 3.4 below. We invite DHHS staff to visit the SES Corporate facility at any time.



Figure 7: SES Corporate Facility

The SES CORE Project Team will be working 100% on-site at the DHHS facility, and no sensitive DHHS information will be removed or accessed by the SES CORE Project Team. Most SES off-site work will be performed at the SES Bellevue Corporate facility by Project Team II (SES SME and SES Corporate Support Pools). Access to any DHHS repositories will be controlled by individuals that are fully trained in the handling of DHHS' sensitive information. The SES CORE Team PM will ensure that none of the SES off-site resources have access to any DHHS sensitive information at any time. Our handling and protection of DHHS data is further discussed in section 3.4 below. DHHS staff are invited to visit the SES Corporate facility at any time.

RFP Section B – Requirements Table Response	
Project Management Requirement	SES Approach

1	Must store all work products in DHHS designated repository and using designated folder structure.	SES IV&V teams will store all work products in the DHHS repository in a file folder structure dedicated to IV&V work. Due to CMS mandate that IV&V remain independent from both DHHS and its contractors and vendors, only IV&V should have permissions to access its folder structure and contents therein.
2	Must have controlled access to all contractor facilities where any contract related work is performed in compliance with privacy and security requirements.	SES IV&V will cooperate and coordinate with DHHS and other State IT staff/Network Administrators to obtain the required controlled access where work occurs for each project. Our team of professionals will comply with all training, privacy and security requirements presented to them.

Table 17: Logistics RFP Section B – Requirements Table Response

RFP Section C – Requirements Response		
i	Address the bidder's approach to meeting each requirement in a table that contains the requirement and the bidder's approach to meeting the requirement	As provided in this table and the Section B Requirements Response table above.
ii	Provide an overview and describe the bidder's facilities where contractor staff may perform work when not on-site in Lincoln	<p>SES Corporate facility is located in Bellevue, Nebraska. Over 25,000 sq. ft, our headquarters support Department of Defense (DoD) US Air Force and US Army contracts that contain Top Secret classified information. To meet DoD's requirement for a secured premises, SES Corporate facility has controlled entry, and SES resources use keyed-access cards to enter the SES work area. All entry into the SES facility is logged and tracked via the controlled entry software. Additionally, the building is fully alarmed and employs active security cameras. SES system network meets DoD standards with certified anti-virus, firewalls and intrusion detection software. SES use encrypted software and trusted certificates for protection of controlled and classified communication.</p> <p>SES Core Project Team will be working 100% on-site at the DHHS facility, and no sensitive DHHS information will be remotely accessed by the SES Core Project Team. SES off-site work will be primarily performed at the SES Bellevue Corporate facility by Project Team II (SES SME and SES Corporate Support Pools). Access to any DHHS repositories will be controlled by individuals that are fully trained in handling of DHHS' sensitive information. Furthermore, the SES Core Team PM will ensure that none of the SES off-site resources have access to any DHHS sensitive information at any time. Our handling and protection of DHHS data is further discussed in Section 3.4 below. We invite DHHS staff to visit the SES Corporate facility at any time.</p>

Table 18: Logistics RFP Section C – Requirements Response



3.4 PRIVACY AND SECURITY

All SES IT system resources have appropriate system permission and user access controls assigned. For controlled files and records, both successful access and unsuccessful access is logged in our Microsoft Access Control module. We employ Security Groups (using specified security identifier) assigned to resources and shared file folders and records that allow for adding users and groups to the access control entry for monitoring. The audit logs indicate the attempted un-authorized access individual, date, time and targeted data. Any attempted un-authorized access is considered a security violation until deemed otherwise. Accordingly, the individual or group access in question is “locked” until an investigation is conducted to assess the situation. An investigation requires the following action to be taken:

1. Account permission re-instated/account unlocked
2. Individual access revoked and action up to termination is issued

An investigation also determines if a data breach has occurred as well as the severity, associated risk and steps to be taken to mitigate any damage. All major stakeholders are notified and provided risk assessment and mitigation plan within agreed upon timeline.

If classified data was accessed, a full security violation report must be submitted to the Defense Security Services (DSS) for on-site DSS agent investigation.

If PHI data was accessed, the steps taken are those prescribed in our security plan and business associate agreement.

External attempted violation is monitored through our intrusion detection software and similar steps are taken.

Please note: because SES has DoD Classified projects, we utilize a fully trained Facility Security Officer that provides oversight of IT resources, data and physical security. We are required to perform quarterly self-inspections and undergo a detailed Annual Security Inspection performed by a DSS agent. The results of our Annual Security Inspection are reported to our active Contracting Agencies to determine whether we can continue to perform and receive DoD classified contracts. We have received “Commendable” ratings for the last consecutive three (3) years which exceeds the acceptable Satisfactory rating.

Lastly, all SES staff is required to complete Annual Security Training as well as complete on-line quarterly review of published security information. Our staff assigned to State Government contracts where PHI is stored is required to complete our standard HIPAA Security and Privacy training prior to beginning work on the project.

RFP Section B – Requirements Table Response	
Requirement	SES Approach

1	<p>Must develop and submit a Privacy and Security Plan work product that includes a description of how contractor safeguards all state information that is transmitted within contractors systems (i.e. email). The plan must be approved by DHHS prior to the contractor having access to project materials.</p>	<p>See Appendix E.</p>
2	<p>Must comply with all security and privacy laws, regulations, and policies, including HIPAA, and related breach notification laws and directives.</p>	<p>SES IV&V teams will comply with all privacy and security laws, regulation and policies including HIPAA. Our checklist sets incorporate the CMS MECT and MITA required checklists on and related to privacy and security.</p>
3	<p>Must provide initial and ongoing privacy and security and HIPAA compliance training to all employees and contract personnel assigned to the project prior to providing access to PHI.</p>	<p>SES will provide initial and recurring (ongoing) security and HIPAA compliance training. We are well-positioned organizationally to assist our IV&V teams in meeting client training requirements.</p>
4	<p>Must take all reasonable industry recognized methods to secure the system from un-authorized access.</p>	<p>SES' facilities and equipment employ security methods consistent with best practices.</p>
5	<p>Must permanently destroy all confidential data and protected health information entrusted to the contractor for the performance of the contract upon approval of DHHS.</p>	<p>The SES Facilities Security Officer (FSO) oversees all SES security at the corporate offices when our personnel are working remotely. Our FSO will also be involved with training IV&V teams for on-site data protection.</p>

Table 19: Privacy and Security RFP Section B – Requirements Table Response

RFP Section C – Requirements Response		
i	Address the bidder's approach to meeting each requirement in a table that contains the requirement and the bidder's approach to meeting the requirement	As provided in this table and the Section B Requirements Response table above.
ii	Description of the proposed strategy, methodology and capabilities for systems, operational and physical security	See Appendix E.
iii	Sample of a Privacy and Security Plan from a previous project	See Appendix E.
iv	Privacy and Security Plan template with instructions and procedures for completing the template	See Appendix E.
v	Description of how workforce privacy and security awareness is supported	See the RFP Section B table, Requirements 3 and 5 immediately above.

RFP Section C – Requirements Response	
vi	<p>Description of the approach to monitoring attempted security violations and the actions that will be taken when security violation attempts are made as well as breaches</p> <p>All SES IT system resources have appropriate system permission and user access controls assigned. For controlled files and records, both successful access and unsuccessful access is logged in our Microsoft Access Control module. We employ Security Groups (using specified security identifier) assigned to resources and shared file folders and records that allow for adding users and groups to the access control entry for monitoring. The audit logs indicate the attempted un-authorized access individual, date, time and targeted data. Any attempted un-authorized access is considered a security violation until deemed otherwise. Accordingly, the individual or group access in question is “locked” until an investigation is conducted to assess the situation. An investigation requires the following action to be taken:</p> <ol style="list-style-type: none"> 1. Account permission re-instated/account unlocked 2. Individual access revoked and action up to termination is issued 3. <p>An investigation also determines if a data breach has occurred as well as the severity, associated risk and steps to be taken to mitigate any damage. All major stakeholders are notified and provided risk assessment and mitigation plan within agreed upon timeline.</p> <p>If classified data was accessed, a full security violation report must be submitted to the Defense Security Services (DSS) for on-site DSS agent investigation.</p> <p>If PHI data was accessed, the steps taken are those prescribed in our security plan and business associate agreement.</p> <p>External attempted violation is monitored through our intrusion detection software and similar steps are taken.</p> <p>Please note: because SES has DoD Classified projects, we utilize a fully trained Facility Security Officer that provides oversight of IT resources, data and physical security. We are required to perform quarterly self-inspections and undergo a detailed Annual Security Inspection performed by a DSS agent. The results of our Annual Security Inspection are reported to our active Contracting Agencies to determine whether we can continue to perform and receive DoD classified contracts. We have received “Commendable” ratings for the last consecutive three (3) years which exceeds the acceptable Satisfactory rating.</p> <p>Lastly, all SES staff is required to complete Annual Security Training as well as complete on-line quarterly review of published security information. Our staff assigned to State Government contracts where PHI is stored is required to complete our standard HIPAA Security and Privacy training prior to beginning work on the project.</p>

Table 20: RFP Section C – Requirements Response

The criticality of data and system security for all IT systems is clearly trending up at a high rate.

The following table provides a sample of our security questions. Please note that these are in addition to CMS-mandated checklist items:

Checklist Question	Best Practice Reference
Are information security requirements and requirement changes complete and accurate?	IRS Publication 1075 and NIST Special Papers 800-30 and 800-53A CMS XLC, Section 5 Table 4
Do all authentication controls get enforced on a trusted system (e.g., The server)?	Open Web Application Security Project-Secure Coding Practices, 2010; Software Assurance (SwA) guidelines for Secure Coding, 2010; CERT Secure Coding Standards, 28 August 2010. Carnegie Mellon University Software Engineering Institute/Computer Emergency Response Team [CERT].

Table 21: Security Questions Sample

Appendix E provides the outline of our proposed security plan and security report that satisfy all RFP privacy and security requirements.





4.1 APPENDIX A – SAMPLE IV&V SCHEDULE

APPENDIX A - Sample IVV Schedule

ID	WBS	Task Name	Duration	Start	Finish	Predecessors
1	1	CLIENT IV&V Project	420 days?	Mon 8/31/15	Fri 4/7/17	
2	1.1	CLIENT DDI Contract Award (DBITS SOW# 608-15-00043)	0 days	Mon 8/31/15	Mon 8/31/15	
3	1.2	Project Initiation and Planning	56 days	Mon 8/31/15	Mon 11/16/15	
4	1.2.1	Set standards, define processes (w/CLIENT PM Team)	4 days	Mon 8/31/15	Thu 9/3/15	
5	1.2.2	MILESTONE: Approved DDI Vendor Work Plan/Schedule	45 days	Mon 8/31/15	Fri 10/30/15	
6	1.2.3	QA Review Methodology/Strategy	8 days	Mon 8/31/15	Wed 9/9/15	
7	1.2.3.1	Develop review strategy and methodology	3 days	Mon 8/31/15	Wed 9/2/15	
8	1.2.3.1.1	DDI work products	3 days	Mon 8/31/15	Wed 9/2/15	
9	1.2.3.1.2	DDI Master Schedule	3 days	Mon 8/31/15	Wed 9/2/15	
10	1.2.3.1.3	DDI Deliverables	3 days	Mon 8/31/15	Wed 9/2/15	
11	1.2.3.2	Submit methodology/strategy	1 day	Thu 9/3/15	Thu 9/3/15	7
12	1.2.3.3	CLIENT RepCLIENTment PM review/comment	2 days	Fri 9/4/15	Mon 9/7/15	11
13	1.2.3.4	Finalize deliverable and submit	2 days	Tue 9/8/15	Wed 9/9/15	12
14	1.2.3.5	IV&V Deliverable MILESTONE: Approved QA Review Methodology/Strategy	0 days	Wed 9/9/15	Wed 9/9/15	13
15	1.2.4	Deliverable Control Procedures	6 days	Mon 8/31/15	Mon 9/7/15	
16	1.2.4.1	Develop and write deliverable control procedures	2 days	Mon 8/31/15	Tue 9/1/15	
17	1.2.4.2	Submit deliverable control procedures	1 day	Wed 9/2/15	Wed 9/2/15	16
18	1.2.4.3	CLIENT RepCLIENTment PM review/comment	2 days	Thu 9/3/15	Fri 9/4/15	17
19	1.2.4.4	Finalize deliverable and submit	1 day	Mon 9/7/15	Mon 9/7/15	18
20	1.2.4.5	IV&V Deliverable MILESTONE: Approved Deliverable Control Procedures	0 days	Mon 9/7/15	Mon 9/7/15	19
21	1.2.5	Quality Management Plan (QMP)	10 days	Mon 11/2/15	Fri 11/13/15	
22	1.2.5.1	Review vendor DDI schedule	2 days	Mon 11/2/15	Tue 11/3/15	5
23	1.2.5.2	Identify objectives, milestones and deliverables	1 day	Mon 11/2/15	Mon 11/2/15	5
24	1.2.5.3	Review/comment on DDI vendor Work Plan	3 days	Mon 11/2/15	Wed 11/4/15	5
25	1.2.5.4	Write compliance monitoring methodology	1 day	Mon 11/2/15	Mon 11/2/15	5
26	1.2.5.5	Write risk mitigation and analysis plan	1 day	Mon 11/2/15	Mon 11/2/15	5
27	1.2.5.6	Submit QMP	1 day	Thu 11/5/15	Thu 11/5/15	22,23,24,25,26
28	1.2.5.7	CLIENT RepCLIENTment PM review/comment	5 days	Fri 11/6/15	Thu 11/12/15	27
29	1.2.5.8	Finalize deliverable and submit	1 day	Fri 11/13/15	Fri 11/13/15	28
30	1.2.5.9	IV&V Deliverable MILESTONE: Approved Quality Management Plan	0 days	Fri 11/13/15	Fri 11/13/15	29
31	1.2.6	IV&V Work Plan for DDI Project Management Plan	10 days	Mon 11/2/15	Fri 11/13/15	
32	1.2.6.1	Analyze DDI vendor schedule and PMP	2 days	Mon 11/2/15	Tue 11/3/15	5
33	1.2.6.2	Integrate IV&V entries (activities) into DDI vendor schedule	1 day	Wed 11/4/15	Wed 11/4/15	32
34	1.2.6.3	Submit integrated schedule	1 day	Thu 11/5/15	Thu 11/5/15	33
35	1.2.6.4	DDI Vendor and CLIENT PM Teams review/comment	5 days	Fri 11/6/15	Thu 11/12/15	34
36	1.2.6.5	Finalize deliverable and submit	1 day	Fri 11/13/15	Fri 11/13/15	35
37	1.2.6.6	IV&V Deliverable MILESTONE: Approved IV&V schedule entries	0 days	Fri 11/13/15	Fri 11/13/15	36
38	1.2.7	Confirm IV&V Project Initiation activities complete	1 day	Mon 11/16/15	Mon 11/16/15	14,20,30,37
39	1.2.8	IV&V Deliverable MILESTONE: Project Initiation	0 days	Mon 11/16/15	Mon 11/16/15	38
40	1.3	Project Execution and Replanning	261 days?	Mon 8/31/15	Mon 8/29/16	
41	1.3.1	Written Evaluation Reports (ERs)				
42	1.3.1.1	Draft the ER template	1 day	Tue 12/1/15	Tue 12/1/15	
43	1.3.1.2	Submit ER template	1 day	Wed 12/2/15	Wed 12/2/15	42
44	1.3.1.3	CLIENT RepCLIENTment PM review/comment	5 days	Thu 12/3/15	Wed 12/9/15	43
45	1.3.1.4	Finalize deliverable and submit	1 day	Thu 12/10/15	Thu 12/10/15	44
46	1.3.1.5	IV&V Deliverable MILESTONE: Approved ER template	0 days	Thu 12/10/15	Thu 12/10/15	45
47	1.3.1.6	DDI vendor deliverable: Project Kickoff Presentation	13 days	Mon 8/31/15	Wed 9/16/15	

APPENDIX A - Sample IVV Schedule

ID	WBS	Task Name	Duration	Start	Finish	Predecessors
48	1.3.1.6.1	Analyze DDI vendor deliverable	5 days	Mon 8/31/15	Fri 9/4/15	
49	1.3.1.6.2	Draft Evaluation Report for Project Kickoff Presentation	2 days	Mon 9/7/15	Tue 9/8/15	48
50	1.3.1.6.3	Submit ER	1 day	Wed 9/9/15	Wed 9/9/15	49
51	1.3.1.6.4	CLIENT RepCLIENTment PM review/comment	3 days	Thu 9/10/15	Mon 9/14/15	50
52	1.3.1.6.5	Finalize deliverable and submit	1 day	Tue 9/15/15	Tue 9/15/15	51
53	1.3.1.6.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Wed 9/16/15	Wed 9/16/15	52
54	1.3.1.7	DDI vendor deliverables - Project Management				
55	1.3.1.7.1	DDI vendor deliverable: Project Work Plan	13 days	Fri 10/2/15	Tue 10/20/15	
56	1.3.1.7.1.1	Analyze DDI vendor deliverable	5 days	Fri 10/2/15	Thu 10/8/15	
57	1.3.1.7.1.2	Draft Evaluation Report	2 days	Fri 10/9/15	Mon 10/12/15	56
58	1.3.1.7.1.3	Submit ER	1 day	Tue 10/13/15	Tue 10/13/15	57
59	1.3.1.7.1.4	CLIENT RepCLIENTment PM review/comment	3 days	Wed 10/14/15	Fri 10/16/15	58
60	1.3.1.7.1.5	Finalize deliverable and submit	1 day	Mon 10/19/15	Mon 10/19/15	59
61	1.3.1.7.1.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Tue 10/20/15	Tue 10/20/15	60
62	1.3.1.7.2	DDI vendor deliverable: Project Management Plan	13 days	Fri 10/2/15	Tue 10/20/15	
63	1.3.1.7.2.1	Analyze DDI vendor deliverable	5 days	Fri 10/2/15	Thu 10/8/15	
64	1.3.1.7.2.2	Draft Evaluation Report	2 days	Fri 10/9/15	Mon 10/12/15	63
65	1.3.1.7.2.3	Submit ER	1 day	Tue 10/13/15	Tue 10/13/15	64
66	1.3.1.7.2.4	CLIENT RepCLIENTment PM review/comment	3 days	Wed 10/14/15	Fri 10/16/15	65
67	1.3.1.7.2.5	Finalize deliverable and submit	1 day	Mon 10/19/15	Mon 10/19/15	66
68	1.3.1.7.2.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Tue 10/20/15	Tue 10/20/15	67
69	1.3.1.7.3	DDI vendor deliverable: Risk Management Plan	13 days	Wed 10/7/15	Fri 10/23/15	
70	1.3.1.7.3.1	Analyze DDI vendor deliverable	5 days	Wed 10/7/15	Tue 10/13/15	
71	1.3.1.7.3.2	Draft Evaluation Report	2 days	Wed 10/14/15	Thu 10/15/15	70
72	1.3.1.7.3.3	Submit ER	1 day	Fri 10/16/15	Fri 10/16/15	71
73	1.3.1.7.3.4	CLIENT RepCLIENTment PM review/comment	3 days	Mon 10/19/15	Wed 10/21/15	72
74	1.3.1.7.3.5	Finalize deliverable and submit	1 day	Thu 10/22/15	Thu 10/22/15	73
75	1.3.1.7.3.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Fri 10/23/15	Fri 10/23/15	74
76	1.3.1.7.4	DDI vendor deliverable: Communication Management Plan	13 days	Wed 10/7/15	Fri 10/23/15	
77	1.3.1.7.4.1	Analyze DDI vendor deliverable	5 days	Wed 10/7/15	Tue 10/13/15	
78	1.3.1.7.4.2	Draft Evaluation Report	2 days	Wed 10/14/15	Thu 10/15/15	77
79	1.3.1.7.4.3	Submit ER	1 day	Fri 10/16/15	Fri 10/16/15	78
80	1.3.1.7.4.4	CLIENT RepCLIENTment PM review/comment	3 days	Mon 10/19/15	Wed 10/21/15	79
81	1.3.1.7.4.5	Finalize deliverable and submit	1 day	Thu 10/22/15	Thu 10/22/15	80
82	1.3.1.7.4.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Fri 10/23/15	Fri 10/23/15	81
83	1.3.1.7.5	DDI vendor deliverable: Organizational Change Management Plan	13 days	Fri 10/30/15	Tue 11/17/15	
84	1.3.1.7.5.1	Analyze DDI vendor deliverable	5 days	Fri 10/30/15	Thu 11/5/15	
85	1.3.1.7.5.2	Draft Evaluation Report	2 days	Fri 11/6/15	Mon 11/9/15	84
86	1.3.1.7.5.3	Submit ER	1 day	Tue 11/10/15	Tue 11/10/15	85
87	1.3.1.7.5.4	CLIENT RepCLIENTment PM review/comment	3 days	Wed 11/11/15	Fri 11/13/15	86
88	1.3.1.7.5.5	Finalize deliverable and submit	1 day	Mon 11/16/15	Mon 11/16/15	87
89	1.3.1.7.5.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Tue 11/17/15	Tue 11/17/15	88
90	1.3.1.8	DDI vendor deliverables - Data store, design, cleansing				

APPENDIX A - Sample IVV Schedule

ID	WBS	Task Name	Duration	Start	Finish	Predecessors
91	1.3.1.8.1	DDI vendor deliverable: Data Quality Management Plan	13 days	Fri 10/23/15	Tue 11/10/15	
92	1.3.1.8.1.1	Analyze DDI vendor deliverable	5 days	Fri 10/23/15	Thu 10/29/15	
93	1.3.1.8.1.2	Draft Evaluation Report	2 days	Fri 10/30/15	Mon 11/2/15	92
94	1.3.1.8.1.3	Submit ER	1 day	Tue 11/3/15	Tue 11/3/15	93
95	1.3.1.8.1.4	CLIENT RepCLIENTment PM review/comment	3 days	Wed 11/4/15	Fri 11/6/15	94
96	1.3.1.8.1.5	Finalize deliverable and submit	1 day	Mon 11/9/15	Mon 11/9/15	95
97	1.3.1.8.1.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Tue 11/10/15	Tue 11/10/15	96
98	1.3.1.8.2	DDI vendor deliverable: Data Business Requirements Document	13 days	Mon 8/31/15	Wed 9/16/15	
99	1.3.1.8.2.1	Analyze DDI vendor deliverable	5 days	Mon 8/31/15	Fri 9/4/15	
100	1.3.1.8.2.2	Draft Evaluation Report	2 days	Mon 9/7/15	Tue 9/8/15	99
101	1.3.1.8.2.3	Submit ER	1 day	Wed 9/9/15	Wed 9/9/15	100
102	1.3.1.8.2.4	CLIENT RepCLIENTment PM review/comment	3 days	Thu 9/10/15	Mon 9/14/15	101
103	1.3.1.8.2.5	Finalize deliverable and submit	1 day	Tue 9/15/15	Tue 9/15/15	102
104	1.3.1.8.2.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Wed 9/16/15	Wed 9/16/15	103
105	1.3.1.8.3	DDI vendor deliverable: Data Interim DB Design Spec.	13 days	Mon 8/31/15	Wed 9/16/15	
106	1.3.1.8.3.1	Analyze DDI vendor deliverable	5 days	Mon 8/31/15	Fri 9/4/15	
107	1.3.1.8.3.2	Draft Evaluation Report	2 days	Mon 9/7/15	Tue 9/8/15	106
108	1.3.1.8.3.3	Submit ER	1 day	Wed 9/9/15	Wed 9/9/15	107
109	1.3.1.8.3.4	CLIENT RepCLIENTment PM review/comment	3 days	Thu 9/10/15	Mon 9/14/15	108
110	1.3.1.8.3.5	Finalize deliverable and submit	1 day	Tue 9/15/15	Tue 9/15/15	109
111	1.3.1.8.3.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Wed 9/16/15	Wed 9/16/15	110
112	1.3.1.8.4	DDI vendor deliverable: Data Integrated DB Design Spec.	13 days	Wed 12/2/15	Fri 12/18/15	
113	1.3.1.8.4.1	Analyze DDI vendor deliverable	5 days	Wed 12/2/15	Tue 12/8/15	
114	1.3.1.8.4.2	Draft Evaluation Report	2 days	Wed 12/9/15	Thu 12/10/15	113
115	1.3.1.8.4.3	Submit ER	1 day	Fri 12/11/15	Fri 12/11/15	114
116	1.3.1.8.4.4	CLIENT RepCLIENTment PM review/comment	3 days	Mon 12/14/15	Wed 12/16/15	115
117	1.3.1.8.4.5	Finalize deliverable and submit	1 day	Thu 12/17/15	Thu 12/17/15	116
118	1.3.1.8.4.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Fri 12/18/15	Fri 12/18/15	117
119	1.3.1.8.5	DDI vendor deliverable: Data Cleansing Detailed Design	13 days	Fri 11/20/15	Tue 12/8/15	
120	1.3.1.8.5.1	Analyze DDI vendor deliverable	5 days	Fri 11/20/15	Thu 11/26/15	
121	1.3.1.8.5.2	Draft Evaluation Report	2 days	Fri 11/27/15	Mon 11/30/15	120
122	1.3.1.8.5.3	Submit ER	1 day	Tue 12/1/15	Tue 12/1/15	121
123	1.3.1.8.5.4	CLIENT RepCLIENTment PM review/comment	3 days	Wed 12/2/15	Fri 12/4/15	122
124	1.3.1.8.5.5	Finalize deliverable and submit	1 day	Mon 12/7/15	Mon 12/7/15	123
125	1.3.1.8.5.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Tue 12/8/15	Tue 12/8/15	124
126	1.3.1.8.6	DDI vendor deliverable: Environmental Design (Dev/Test)	13 days	Wed 9/30/15	Fri 10/16/15	
127	1.3.1.8.6.1	Analyze DDI vendor deliverable	5 days	Wed 9/30/15	Tue 10/6/15	
128	1.3.1.8.6.2	Draft Evaluation Report	2 days	Wed 10/7/15	Thu 10/8/15	127
129	1.3.1.8.6.3	Submit ER	1 day	Fri 10/9/15	Fri 10/9/15	128
130	1.3.1.8.6.4	CLIENT RepCLIENTment PM review/comment	3 days	Mon 10/12/15	Wed 10/14/15	129
131	1.3.1.8.6.5	Finalize deliverable and submit	1 day	Thu 10/15/15	Thu 10/15/15	130
132	1.3.1.8.6.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Fri 10/16/15	Fri 10/16/15	131

APPENDIX A - Sample IVV Schedule

ID	WBS	Task Name	Duration	Start	Finish	Predecessors
133	1.3.1.8.7	DDI vendor deliverable: Solution Development Instance	13 days	Mon 8/31/15	Wed 9/16/15	
134	1.3.1.8.7.1	Analyze DDI vendor deliverable	5 days	Mon 8/31/15	Fri 9/4/15	
135	1.3.1.8.7.2	Draft Evaluation Report	2 days	Mon 9/7/15	Tue 9/8/15	134
136	1.3.1.8.7.3	Submit ER	1 day	Wed 9/9/15	Wed 9/9/15	135
137	1.3.1.8.7.4	CLIENT RepCLIENTment PM review/comment	3 days	Thu 9/10/15	Mon 9/14/15	136
138	1.3.1.8.7.5	Finalize deliverable and submit	1 day	Tue 9/15/15	Tue 9/15/15	137
139	1.3.1.8.7.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Wed 9/16/15	Wed 9/16/15	138
140	1.3.1.9	DDI vendor deliverables - Construction	13 days	Wed 1/20/16	Fri 2/5/16	
141	1.3.1.9.1	DDI vendor deliverable: Data Conversion Plan	13 days	Wed 1/20/16	Fri 2/5/16	
142	1.3.1.9.1.1	Analyze DDI vendor deliverable	5 days	Wed 1/20/16	Tue 1/26/16	
143	1.3.1.9.1.2	Draft Evaluation Report	2 days	Wed 1/27/16	Thu 1/28/16	142
144	1.3.1.9.1.3	Submit ER	1 day	Fri 1/29/16	Fri 1/29/16	143
145	1.3.1.9.1.4	CLIENT RepCLIENTment PM review/comment	3 days	Mon 2/1/16	Wed 2/3/16	144
146	1.3.1.9.1.5	Finalize deliverable and submit	1 day	Thu 2/4/16	Thu 2/4/16	145
147	1.3.1.9.1.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Fri 2/5/16	Fri 2/5/16	146
148	1.3.1.10	DDI vendor deliverables - Transition	13 days	Fri 8/19/16	Tue 9/6/16	
149	1.3.1.10.1	DDI vendor deliverable: Data Migration (Active)	13 days	Fri 8/19/16	Tue 9/6/16	
150	1.3.1.10.1.1	Analyze DDI vendor deliverable	5 days	Fri 8/19/16	Thu 8/25/16	
151	1.3.1.10.1.2	Draft Evaluation Report	2 days	Fri 8/26/16	Mon 8/29/16	150
152	1.3.1.10.1.3	Submit ER	1 day	Tue 8/30/16	Tue 8/30/16	151
153	1.3.1.10.1.4	CLIENT RepCLIENTment PM review/comment	3 days	Wed 8/31/16	Fri 9/2/16	152
154	1.3.1.10.1.5	Finalize deliverable and submit	1 day	Mon 9/5/16	Mon 9/5/16	153
155	1.3.1.10.1.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Tue 9/6/16	Tue 9/6/16	154
156	1.3.1.10.2	DDI vendor deliverable: Data Validation Reports (Active data)	13 days	Fri 8/19/16	Tue 9/6/16	
157	1.3.1.10.2.1	Analyze DDI vendor deliverable	5 days	Fri 8/19/16	Thu 8/25/16	
158	1.3.1.10.2.2	Draft Evaluation Report	2 days	Fri 8/26/16	Mon 8/29/16	157
159	1.3.1.10.2.3	Submit ER	1 day	Tue 8/30/16	Tue 8/30/16	158
160	1.3.1.10.2.4	CLIENT RepCLIENTment PM review/comment	3 days	Wed 8/31/16	Fri 9/2/16	159
161	1.3.1.10.2.5	Finalize deliverable and submit	1 day	Mon 9/5/16	Mon 9/5/16	160
162	1.3.1.10.2.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Tue 9/6/16	Tue 9/6/16	161
163	1.3.1.10.3	DDI vendor deliverable: Data Cleansing (Archive Data)	13 days	Fri 8/19/16	Tue 9/6/16	
164	1.3.1.10.3.1	Analyze DDI vendor deliverable	5 days	Fri 8/19/16	Thu 8/25/16	
165	1.3.1.10.3.2	Draft Evaluation Report	2 days	Fri 8/26/16	Mon 8/29/16	164
166	1.3.1.10.3.3	Submit ER	1 day	Tue 8/30/16	Tue 8/30/16	165
167	1.3.1.10.3.4	CLIENT RepCLIENTment PM review/comment	3 days	Wed 8/31/16	Fri 9/2/16	166
168	1.3.1.10.3.5	Finalize deliverable and submit	1 day	Mon 9/5/16	Mon 9/5/16	167
169	1.3.1.10.3.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Tue 9/6/16	Tue 9/6/16	168
170	1.3.1.10.4	DDI vendor deliverable: Data Validation Reports	13 days	Fri 8/19/16	Tue 9/6/16	
171	1.3.1.10.4.1	Analyze DDI vendor deliverable	5 days	Fri 8/19/16	Thu 8/25/16	
172	1.3.1.10.4.2	Draft Evaluation Report	2 days	Fri 8/26/16	Mon 8/29/16	171
173	1.3.1.10.4.3	Submit ER	1 day	Tue 8/30/16	Tue 8/30/16	172
174	1.3.1.10.4.4	CLIENT RepCLIENTment PM review/comment	3 days	Wed 8/31/16	Fri 9/2/16	173
175	1.3.1.10.4.5	Finalize deliverable and submit	1 day	Mon 9/5/16	Mon 9/5/16	174

APPENDIX A - Sample IVV Schedule

ID	WBS	Task Name	Duration	Start	Finish	Predecessors
176	1.3.1.10.4.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Tue 9/6/16	Tue 9/6/16	175
177	1.3.1.10.5	DDI vendor deliverable: Data Migration (Archive)	13 days	Fri 8/19/16	Tue 9/6/16	
178	1.3.1.10.5.1	Analyze DDI vendor deliverable	5 days	Fri 8/19/16	Thu 8/25/16	
179	1.3.1.10.5.2	Draft Evaluation Report	2 days	Fri 8/26/16	Mon 8/29/16	178
180	1.3.1.10.5.3	Submit ER	1 day	Tue 8/30/16	Tue 8/30/16	179
181	1.3.1.10.5.4	CLIENT RepCLIENTment PM review/comment	3 days	Wed 8/31/16	Fri 9/2/16	180
182	1.3.1.10.5.5	Finalize deliverable and submit	1 day	Mon 9/5/16	Mon 9/5/16	181
183	1.3.1.10.5.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Tue 9/6/16	Tue 9/6/16	182
184	1.3.1.10.5.7	DDI vendor deliverable: Data Validation Reports-Data Migration (Archive)	13 days	Fri 8/19/16	Tue 9/6/16	
185	1.3.1.10.5.7.1	Analyze DDI vendor deliverable	5 days	Fri 8/19/16	Thu 8/25/16	
186	1.3.1.10.5.7.2	Draft Evaluation Report	2 days	Fri 8/26/16	Mon 8/29/16	185
187	1.3.1.10.5.7.3	Submit ER	1 day	Tue 8/30/16	Tue 8/30/16	186
188	1.3.1.10.5.7.4	CLIENT RepCLIENTment PM review/comment	3 days	Wed 8/31/16	Fri 9/2/16	187
189	1.3.1.10.5.7.5	Finalize deliverable and submit	1 day	Mon 9/5/16	Mon 9/5/16	188
190	1.3.1.10.5.7.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Tue 9/6/16	Tue 9/6/16	189
191	1.3.1.11	DDI vendor deliverables -Application Elaboration	206 days	Mon 9/21/15	Mon 7/4/16	
192	1.3.1.11.1	Project Management	178 days	Thu 10/29/15	Mon 7/4/16	
193	1.3.1.11.1.1	DDI vendor deliverable: Application Readiness Assessment Plan	13 days	Thu 6/16/16	Mon 7/4/16	
194	1.3.1.11.1.1.1	Analyze DDI vendor deliverable	5 days	Thu 6/16/16	Wed 6/22/16	
195	1.3.1.11.1.1.2	Draft Evaluation Report	2 days	Thu 6/23/16	Fri 6/24/16	194
196	1.3.1.11.1.1.3	Submit ER	1 day	Mon 6/27/16	Mon 6/27/16	195
197	1.3.1.11.1.1.4	CLIENT RepCLIENTment PM review/comment	3 days	Tue 6/28/16	Thu 6/30/16	196
198	1.3.1.11.1.1.5	Finalize deliverable and submit	1 day	Fri 7/1/16	Fri 7/1/16	197
199	1.3.1.11.1.1.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Mon 7/4/16	Mon 7/4/16	198
200	1.3.1.11.1.2	DDI vendor deliverable: Test Management Plan	13 days	Thu 10/29/15	Mon 11/16/15	
201	1.3.1.11.1.2.1	Analyze DDI vendor deliverable	5 days	Thu 10/29/15	Wed 11/4/15	
202	1.3.1.11.1.2.2	Draft Evaluation Report	2 days	Thu 11/5/15	Fri 11/6/15	201
203	1.3.1.11.1.2.3	Submit ER	1 day	Mon 11/9/15	Mon 11/9/15	202
204	1.3.1.11.1.2.4	CLIENT RepCLIENTment PM review/comment	3 days	Tue 11/10/15	Thu 11/12/15	203
205	1.3.1.11.1.2.5	Finalize deliverable and submit	1 day	Fri 11/13/15	Fri 11/13/15	204
206	1.3.1.11.1.2.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Mon 11/16/15	Mon 11/16/15	205
207	1.3.1.11.2	Requirements	60 days	Mon 9/21/15	Fri 12/11/15	
208	1.3.1.11.2.1	DDI vendor deliverable: Business Requirements Document	13 days	Mon 9/21/15	Wed 10/7/15	
209	1.3.1.11.2.1.1	Analyze DDI vendor deliverable	5 days	Mon 9/21/15	Fri 9/25/15	
210	1.3.1.11.2.1.2	Draft Evaluation Report	2 days	Mon 9/28/15	Tue 9/29/15	209
211	1.3.1.11.2.1.3	Submit ER	1 day	Wed 9/30/15	Wed 9/30/15	210
212	1.3.1.11.2.1.4	CLIENT RepCLIENTment PM review/comment	3 days	Thu 10/1/15	Mon 10/5/15	211
213	1.3.1.11.2.1.5	Finalize deliverable and submit	1 day	Tue 10/6/15	Tue 10/6/15	212
214	1.3.1.11.2.1.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Wed 10/7/15	Wed 10/7/15	213
215	1.3.1.11.2.2	DDI vendor deliverable: Technical Requirements Document	13 days	Wed 9/30/15	Fri 10/16/15	
216	1.3.1.11.2.2.1	Analyze DDI vendor deliverable	5 days	Wed 9/30/15	Tue 10/6/15	
217	1.3.1.11.2.2.2	Draft Evaluation Report	2 days	Wed 10/7/15	Thu 10/8/15	216
218	1.3.1.11.2.2.3	Submit ER	1 day	Fri 10/9/15	Fri 10/9/15	217

APPENDIX A - Sample IVV Schedule

ID	WBS	Task Name	Duration	Start	Finish	Predecessors
219	1.3.1.11.2.2.4	CLIENT RepCLIENTment PM review/comment	3 days	Mon 10/12/15	Wed 10/14/15	218
220	1.3.1.11.2.2.5	Finalize deliverable and submit	1 day	Thu 10/15/15	Thu 10/15/15	219
221	1.3.1.11.2.2.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Fri 10/16/15	Fri 10/16/15	220
222	1.3.1.11.2.3	DDI vendor deliverable: Initial Product Training	13 days	Wed 11/25/15	Fri 12/11/15	
223	1.3.1.11.2.3.1	Analyze DDI vendor deliverable	5 days	Wed 11/25/15	Tue 12/1/15	
224	1.3.1.11.2.3.2	Draft Evaluation Report	2 days	Wed 12/2/15	Thu 12/3/15	223
225	1.3.1.11.2.3.3	Submit ER	1 day	Fri 12/4/15	Fri 12/4/15	224
226	1.3.1.11.2.3.4	CLIENT RepCLIENTment PM review/comment	3 days	Mon 12/7/15	Wed 12/9/15	225
227	1.3.1.11.2.3.5	Finalize deliverable and submit	1 day	Thu 12/10/15	Thu 12/10/15	226
228	1.3.1.11.2.3.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Fri 12/11/15	Fri 12/11/15	227
229	1.3.1.11.3	Configuration Design	129 days	Wed 9/30/15	Mon 3/28/16	
230	1.3.1.11.3.1	DDI vendor deliverable: Initial Product Training	13 days	Mon 10/26/15	Wed 11/11/15	
231	1.3.1.11.3.1.1	Analyze DDI vendor deliverable	5 days	Mon 10/26/15	Fri 10/30/15	
232	1.3.1.11.3.1.2	Draft Evaluation Report	2 days	Mon 11/2/15	Tue 11/3/15	231
233	1.3.1.11.3.1.3	Submit ER	1 day	Wed 11/4/15	Wed 11/4/15	232
234	1.3.1.11.3.1.4	CLIENT RepCLIENTment PM review/comment	3 days	Thu 11/5/15	Mon 11/9/15	233
235	1.3.1.11.3.1.5	Finalize deliverable and submit	1 day	Tue 11/10/15	Tue 11/10/15	234
236	1.3.1.11.3.1.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Wed 11/11/15	Wed 11/11/15	235
237	1.3.1.11.3.2	DDI vendor deliverable: Application Design Spec.	13 days	Wed 1/27/16	Fri 2/12/16	
238	1.3.1.11.3.2.1	Analyze DDI vendor deliverable	5 days	Wed 1/27/16	Tue 2/2/16	
239	1.3.1.11.3.2.2	Draft Evaluation Report	2 days	Wed 2/3/16	Thu 2/4/16	238
240	1.3.1.11.3.2.3	Submit ER	1 day	Fri 2/5/16	Fri 2/5/16	239
241	1.3.1.11.3.2.4	CLIENT RepCLIENTment PM review/comment	3 days	Mon 2/8/16	Wed 2/10/16	240
242	1.3.1.11.3.2.5	Finalize deliverable and submit	1 day	Thu 2/11/16	Thu 2/11/16	241
243	1.3.1.11.3.2.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Fri 2/12/16	Fri 2/12/16	242
244	1.3.1.11.3.3	DDI vendor deliverable: Application Design Spec. (Technical)	13 days	Wed 2/3/16	Fri 2/19/16	
245	1.3.1.11.3.3.1	Analyze DDI vendor deliverable	5 days	Wed 2/3/16	Tue 2/9/16	
246	1.3.1.11.3.3.2	Draft Evaluation Report	2 days	Wed 2/10/16	Thu 2/11/16	245
247	1.3.1.11.3.3.3	Submit ER	1 day	Fri 2/12/16	Fri 2/12/16	246
248	1.3.1.11.3.3.4	CLIENT RepCLIENTment PM review/comment	3 days	Mon 2/15/16	Wed 2/17/16	247
249	1.3.1.11.3.3.5	Finalize deliverable and submit	1 day	Thu 2/18/16	Thu 2/18/16	248
250	1.3.1.11.3.3.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Fri 2/19/16	Fri 2/19/16	249
251	1.3.1.11.3.4	DDI vendor deliverable: Interface Design Spec.	13 days	Tue 2/23/16	Thu 3/10/16	
252	1.3.1.11.3.4.1	Analyze DDI vendor deliverable	5 days	Tue 2/23/16	Mon 2/29/16	
253	1.3.1.11.3.4.2	Draft Evaluation Report	2 days	Tue 3/1/16	Wed 3/2/16	252
254	1.3.1.11.3.4.3	Submit ER	1 day	Thu 3/3/16	Thu 3/3/16	253
255	1.3.1.11.3.4.4	CLIENT RepCLIENTment PM review/comment	3 days	Fri 3/4/16	Tue 3/8/16	254
256	1.3.1.11.3.4.5	Finalize deliverable and submit	1 day	Wed 3/9/16	Wed 3/9/16	255
257	1.3.1.11.3.4.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Thu 3/10/16	Thu 3/10/16	256
258	1.3.1.11.3.5	DDI vendor deliverable: Report Design Spec.	13 days	Tue 2/23/16	Thu 3/10/16	
259	1.3.1.11.3.5.1	Analyze DDI vendor deliverable	5 days	Tue 2/23/16	Mon 2/29/16	
260	1.3.1.11.3.5.2	Draft Evaluation Report	2 days	Tue 3/1/16	Wed 3/2/16	259
261	1.3.1.11.3.5.3	Submit ER	1 day	Thu 3/3/16	Thu 3/3/16	260

APPENDIX A - Sample IVV Schedule

ID	WBS	Task Name	Duration	Start	Finish	Predecessors
262	1.3.1.11.3.5.4	CLIENT RepCLIENTment PM review/comment	3 days	Fri 3/4/16	Tue 3/8/16	261
263	1.3.1.11.3.5.5	Finalize deliverable and submit	1 day	Wed 3/9/16	Wed 3/9/16	262
264	1.3.1.11.3.5.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Thu 3/10/16	Thu 3/10/16	263
265	1.3.1.11.3.6	DDI vendor deliverable: Security Plan	13 days	Mon 12/28/15	Wed 1/13/16	
266	1.3.1.11.3.6.1	Analyze DDI vendor deliverable	5 days	Mon 12/28/15	Fri 1/1/16	
267	1.3.1.11.3.6.2	Draft Evaluation Report	2 days	Mon 1/4/16	Tue 1/5/16	266
268	1.3.1.11.3.6.3	Submit ER	1 day	Wed 1/6/16	Wed 1/6/16	267
269	1.3.1.11.3.6.4	CLIENT RepCLIENTment PM review/comment	3 days	Thu 1/7/16	Mon 1/11/16	268
270	1.3.1.11.3.6.5	Finalize deliverable and submit	1 day	Tue 1/12/16	Tue 1/12/16	269
271	1.3.1.11.3.6.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Wed 1/13/16	Wed 1/13/16	270
272	1.3.1.11.3.7	DDI vendor deliverable: Environment Specifications (Dev, Test)	13 days	Wed 9/30/15	Fri 10/16/15	
273	1.3.1.11.3.7.1	Analyze DDI vendor deliverable	5 days	Wed 9/30/15	Tue 10/6/15	
274	1.3.1.11.3.7.2	Draft Evaluation Report	2 days	Wed 10/7/15	Thu 10/8/15	273
275	1.3.1.11.3.7.3	Submit ER	1 day	Fri 10/9/15	Fri 10/9/15	274
276	1.3.1.11.3.7.4	CLIENT RepCLIENTment PM review/comment	3 days	Mon 10/12/15	Wed 10/14/15	275
277	1.3.1.11.3.7.5	Finalize deliverable and submit	1 day	Thu 10/15/15	Thu 10/15/15	276
278	1.3.1.11.3.7.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Fri 10/16/15	Fri 10/16/15	277
279	1.3.1.11.3.8	DDI vendor deliverable: Environment Specifications (Production)	13 days	Thu 3/10/16	Mon 3/28/16	
280	1.3.1.11.3.8.1	Analyze DDI vendor deliverable	5 days	Thu 3/10/16	Wed 3/16/16	
281	1.3.1.11.3.8.2	Draft Evaluation Report	2 days	Thu 3/17/16	Fri 3/18/16	280
282	1.3.1.11.3.8.3	Submit ER	1 day	Mon 3/21/16	Mon 3/21/16	281
283	1.3.1.11.3.8.4	CLIENT RepCLIENTment PM review/comment	3 days	Tue 3/22/16	Thu 3/24/16	282
284	1.3.1.11.3.8.5	Finalize deliverable and submit	1 day	Fri 3/25/16	Fri 3/25/16	283
285	1.3.1.11.3.8.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Mon 3/28/16	Mon 3/28/16	284
286	1.3.1.11.3.9	DDI vendor deliverable: Solution Development Instance	13 days	Fri 10/16/15	Tue 11/3/15	
287	1.3.1.11.3.9.1	Analyze DDI vendor deliverable	5 days	Fri 10/16/15	Thu 10/22/15	
288	1.3.1.11.3.9.2	Draft Evaluation Report	2 days	Fri 10/23/15	Mon 10/26/15	287
289	1.3.1.11.3.9.3	Submit ER	1 day	Tue 10/27/15	Tue 10/27/15	288
290	1.3.1.11.3.9.4	CLIENT RepCLIENTment PM review/comment	3 days	Wed 10/28/15	Fri 10/30/15	289
291	1.3.1.11.3.9.5	Finalize deliverable and submit	1 day	Mon 11/2/15	Mon 11/2/15	290
292	1.3.1.11.3.9.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Tue 11/3/15	Tue 11/3/15	291
293	1.3.1.11.3.10	DDI vendor deliverable: Prototype Scope and Design	13 days	Mon 11/23/15	Wed 12/9/15	
294	1.3.1.11.3.10.1	Analyze DDI vendor deliverable	5 days	Mon 11/23/15	Fri 11/27/15	
295	1.3.1.11.3.10.2	Draft Evaluation Report	2 days	Mon 11/30/15	Tue 12/1/15	294
296	1.3.1.11.3.10.3	Submit ER	1 day	Wed 12/2/15	Wed 12/2/15	295
297	1.3.1.11.3.10.4	CLIENT RepCLIENTment PM review/comment	3 days	Thu 12/3/15	Mon 12/7/15	296
298	1.3.1.11.3.10.5	Finalize deliverable and submit	1 day	Tue 12/8/15	Tue 12/8/15	297
299	1.3.1.11.3.10.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Wed 12/9/15	Wed 12/9/15	298
300	1.3.1.12	DDI vendor deliverables -Application Construction	223 days	Wed 10/14/15	Fri 8/19/16	
301	1.3.1.12.1	Project Management	218 days	Wed 10/14/15	Fri 8/12/16	
302	1.3.1.12.1.1	DDI vendor deliverable: Environment Management	13 days	Wed 10/14/15	Fri 10/30/15	
303	1.3.1.12.1.1.1	Analyze DDI vendor deliverable	5 days	Wed 10/14/15	Tue 10/20/15	
304	1.3.1.12.1.1.2	Draft Evaluation Report	2 days	Wed 10/21/15	Thu 10/22/15	303

APPENDIX A - Sample IVV Schedule

ID	WBS	Task Name	Duration	Start	Finish	Predecessors
305	1.3.1.12.1.1.3	Submit ER	1 day	Fri 10/23/15	Fri 10/23/15	304
306	1.3.1.12.1.1.4	CLIENT RepCLIENTment PM review/comment	3 days	Mon 10/26/15	Wed 10/28/15	305
307	1.3.1.12.1.1.5	Finalize deliverable and submit	1 day	Thu 10/29/15	Thu 10/29/15	306
308	1.3.1.12.1.1.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Fri 10/30/15	Fri 10/30/15	307
309	1.3.1.12.1.2	DDI vendor deliverable: Iteration Test Plan	13 days	Mon 11/16/15	Wed 12/2/15	
310	1.3.1.12.1.2.1	Analyze DDI vendor deliverable	5 days	Mon 11/16/15	Fri 11/20/15	
311	1.3.1.12.1.2.2	Draft Evaluation Report	2 days	Mon 11/23/15	Tue 11/24/15	310
312	1.3.1.12.1.2.3	Submit ER	1 day	Wed 11/25/15	Wed 11/25/15	311
313	1.3.1.12.1.2.4	CLIENT RepCLIENTment PM review/comment	3 days	Thu 11/26/15	Mon 11/30/15	312
314	1.3.1.12.1.2.5	Finalize deliverable and submit	1 day	Tue 12/1/15	Tue 12/1/15	313
315	1.3.1.12.1.2.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Wed 12/2/15	Wed 12/2/15	314
316	1.3.1.12.1.3	DDI vendor deliverable: Backup/Disaster Recovery Plan	13 days	Fri 10/23/15	Tue 11/10/15	
317	1.3.1.12.1.3.1	Analyze DDI vendor deliverable	5 days	Fri 10/23/15	Thu 10/29/15	
318	1.3.1.12.1.3.2	Draft Evaluation Report	2 days	Fri 10/30/15	Mon 11/2/15	317
319	1.3.1.12.1.3.3	Submit ER	1 day	Tue 11/3/15	Tue 11/3/15	318
320	1.3.1.12.1.3.4	CLIENT RepCLIENTment PM review/comment	3 days	Wed 11/4/15	Fri 11/6/15	319
321	1.3.1.12.1.3.5	Finalize deliverable and submit	1 day	Mon 11/9/15	Mon 11/9/15	320
322	1.3.1.12.1.3.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Tue 11/10/15	Tue 11/10/15	321
323	1.3.1.12.1.4	DDI vendor deliverable: User Training Plan	13 days	Tue 3/1/16	Thu 3/17/16	
324	1.3.1.12.1.4.1	Analyze DDI vendor deliverable	5 days	Tue 3/1/16	Mon 3/7/16	
325	1.3.1.12.1.4.2	Draft Evaluation Report	2 days	Tue 3/8/16	Wed 3/9/16	324
326	1.3.1.12.1.4.3	Submit ER	1 day	Thu 3/10/16	Thu 3/10/16	325
327	1.3.1.12.1.4.4	CLIENT RepCLIENTment PM review/comment	3 days	Fri 3/11/16	Tue 3/15/16	326
328	1.3.1.12.1.4.5	Finalize deliverable and submit	1 day	Wed 3/16/16	Wed 3/16/16	327
329	1.3.1.12.1.4.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Thu 3/17/16	Thu 3/17/16	328
330	1.3.1.12.1.5	DDI vendor deliverable: Deployment Plan	13 days	Wed 7/27/16	Fri 8/12/16	
331	1.3.1.12.1.5.1	Analyze DDI vendor deliverable	5 days	Wed 7/27/16	Tue 8/2/16	
332	1.3.1.12.1.5.2	Draft Evaluation Report	2 days	Wed 8/3/16	Thu 8/4/16	331
333	1.3.1.12.1.5.3	Submit ER	1 day	Fri 8/5/16	Fri 8/5/16	332
334	1.3.1.12.1.5.4	CLIENT RepCLIENTment PM review/comment	3 days	Mon 8/8/16	Wed 8/10/16	333
335	1.3.1.12.1.5.5	Finalize deliverable and submit	1 day	Thu 8/11/16	Thu 8/11/16	334
336	1.3.1.12.1.5.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Fri 8/12/16	Fri 8/12/16	335
337	1.3.1.12.2	Development	54 days	Tue 11/24/15	Fri 2/5/16	
338	1.3.1.12.2.1	DDI vendor deliverable: Prototype Walkthrough	13 days	Tue 11/24/15	Thu 12/10/15	
339	1.3.1.12.2.1.1	Analyze DDI vendor deliverable	5 days	Tue 11/24/15	Mon 11/30/15	
340	1.3.1.12.2.1.2	Draft Evaluation Report	2 days	Tue 12/1/15	Wed 12/2/15	339
341	1.3.1.12.2.1.3	Submit ER	1 day	Thu 12/3/15	Thu 12/3/15	340
342	1.3.1.12.2.1.4	CLIENT RepCLIENTment PM review/comment	3 days	Fri 12/4/15	Tue 12/8/15	341
343	1.3.1.12.2.1.5	Finalize deliverable and submit	1 day	Wed 12/9/15	Wed 12/9/15	342
344	1.3.1.12.2.1.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Thu 12/10/15	Thu 12/10/15	343
345	1.3.1.12.2.2	DDI vendor deliverable: Prototype Completion Report	13 days	Wed 1/20/16	Fri 2/5/16	
346	1.3.1.12.2.2.1	Analyze DDI vendor deliverable	5 days	Wed 1/20/16	Tue 1/26/16	
347	1.3.1.12.2.2.2	Draft Evaluation Report	2 days	Wed 1/27/16	Thu 1/28/16	346

APPENDIX A - Sample IVV Schedule

ID	WBS	Task Name	Duration	Start	Finish	Predecessors
348	1.3.1.12.2.2.3	Submit ER	1 day	Fri 1/29/16	Fri 1/29/16	347
349	1.3.1.12.2.2.4	CLIENT RepCLIENTment PM review/comment	3 days	Mon 2/1/16	Wed 2/3/16	348
350	1.3.1.12.2.2.5	Finalize deliverable and submit	1 day	Thu 2/4/16	Thu 2/4/16	349
351	1.3.1.12.2.2.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Fri 2/5/16	Fri 2/5/16	350
352	1.3.1.12.3	Testing	161 days	Fri 1/8/16	Fri 8/19/16	
353	1.3.1.12.3.1	DDI vendor deliverable: Solution Test Instance (System)	13 days	Fri 1/8/16	Tue 1/26/16	
354	1.3.1.12.3.1.1	Analyze DDI vendor deliverable	5 days	Fri 1/8/16	Thu 1/14/16	
355	1.3.1.12.3.1.2	Draft Evaluation Report	2 days	Fri 1/15/16	Mon 1/18/16	354
356	1.3.1.12.3.1.3	Submit ER	1 day	Tue 1/19/16	Tue 1/19/16	355
357	1.3.1.12.3.1.4	CLIENT RepCLIENTment PM review/comment	3 days	Wed 1/20/16	Fri 1/22/16	356
358	1.3.1.12.3.1.5	Finalize deliverable and submit	1 day	Mon 1/25/16	Mon 1/25/16	357
359	1.3.1.12.3.1.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Tue 1/26/16	Tue 1/26/16	358
360	1.3.1.12.3.2	DDI vendor deliverable: Iteration System Test Report	13 days	Wed 8/3/16	Fri 8/19/16	
361	1.3.1.12.3.2.1	Analyze DDI vendor deliverable	5 days	Wed 8/3/16	Tue 8/9/16	
362	1.3.1.12.3.2.2	Draft Evaluation Report	2 days	Wed 8/10/16	Thu 8/11/16	361
363	1.3.1.12.3.2.3	Submit ER	1 day	Fri 8/12/16	Fri 8/12/16	362
364	1.3.1.12.3.2.4	CLIENT RepCLIENTment PM review/comment	3 days	Mon 8/15/16	Wed 8/17/16	363
365	1.3.1.12.3.2.5	Finalize deliverable and submit	1 day	Thu 8/18/16	Thu 8/18/16	364
366	1.3.1.12.3.2.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Fri 8/19/16	Fri 8/19/16	365
367	1.3.1.12.3.3	DDI vendor deliverable: Solution Test Instance (Stage)	13 days	Thu 6/23/16	Mon 7/11/16	
368	1.3.1.12.3.3.1	Analyze DDI vendor deliverable	5 days	Thu 6/23/16	Wed 6/29/16	
369	1.3.1.12.3.3.2	Draft Evaluation Report	2 days	Thu 6/30/16	Fri 7/1/16	368
370	1.3.1.12.3.3.3	Submit ER	1 day	Mon 7/4/16	Mon 7/4/16	369
371	1.3.1.12.3.3.4	CLIENT RepCLIENTment PM review/comment	3 days	Tue 7/5/16	Thu 7/7/16	370
372	1.3.1.12.3.3.5	Finalize deliverable and submit	1 day	Fri 7/8/16	Fri 7/8/16	371
373	1.3.1.12.3.3.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Mon 7/11/16	Mon 7/11/16	372
374	1.3.1.12.4	Technology	13 days	Thu 6/23/16	Mon 7/11/16	
375	1.3.1.12.4.1	DDI vendor deliverable: Solution Test Instance (Stage)	13 days	Thu 6/23/16	Mon 7/11/16	
376	1.3.1.12.4.1.1	Analyze DDI vendor deliverable	5 days	Thu 6/23/16	Wed 6/29/16	
377	1.3.1.12.4.1.2	Draft Evaluation Report	2 days	Thu 6/30/16	Fri 7/1/16	376
378	1.3.1.12.4.1.3	Submit ER	1 day	Mon 7/4/16	Mon 7/4/16	377
379	1.3.1.12.4.1.4	CLIENT RepCLIENTment PM review/comment	3 days	Tue 7/5/16	Thu 7/7/16	378
380	1.3.1.12.4.1.5	Finalize deliverable and submit	1 day	Fri 7/8/16	Fri 7/8/16	379
381	1.3.1.12.4.1.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Mon 7/11/16	Mon 7/11/16	380
382	1.3.1.13	DDI vendor deliverables -Application Transition	119 days	Tue 4/5/16	Fri 9/16/16	
383	1.3.1.13.1	DDI vendor deliverable: Iteration UAT Report	13 days	Tue 8/30/16	Thu 9/15/16	
384	1.3.1.13.1.1	Analyze DDI vendor deliverable	5 days	Tue 8/30/16	Mon 9/5/16	
385	1.3.1.13.1.2	Draft Evaluation Report	2 days	Tue 9/6/16	Wed 9/7/16	384
386	1.3.1.13.1.3	Submit ER	1 day	Thu 9/8/16	Thu 9/8/16	385
387	1.3.1.13.1.4	CLIENT RepCLIENTment PM review/comment	3 days	Fri 9/9/16	Tue 9/13/16	386
388	1.3.1.13.1.5	Finalize deliverable and submit	1 day	Wed 9/14/16	Wed 9/14/16	387
389	1.3.1.13.1.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Thu 9/15/16	Thu 9/15/16	388
390	1.3.1.13.2	DDI vendor deliverable: Application Readiness Assessment Report	13 days	Wed 8/31/16	Fri 9/16/16	

APPENDIX A - Sample IVV Schedule

ID	WBS	Task Name	Duration	Start	Finish	Predecessors
391	1.3.1.13.2.1	Analyze DDI vendor deliverable	5 days	Wed 8/31/16	Tue 9/6/16	
392	1.3.1.13.2.2	Draft Evaluation Report	2 days	Wed 9/7/16	Thu 9/8/16	391
393	1.3.1.13.2.3	Submit ER	1 day	Fri 9/9/16	Fri 9/9/16	392
394	1.3.1.13.2.4	CLIENT RepCLIENTment PM review/comment	3 days	Mon 9/12/16	Wed 9/14/16	393
395	1.3.1.13.2.5	Finalize deliverable and submit	1 day	Thu 9/15/16	Thu 9/15/16	394
396	1.3.1.13.2.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Fri 9/16/16	Fri 9/16/16	395
397	1.3.1.13.3	DDI vendor deliverable: Solution Test Instance (Training Sandbox)	13 days	Tue 4/5/16	Thu 4/21/16	
398	1.3.1.13.3.1	Analyze DDI vendor deliverable	5 days	Tue 4/5/16	Mon 4/11/16	
399	1.3.1.13.3.2	Draft Evaluation Report	2 days	Tue 4/12/16	Wed 4/13/16	398
400	1.3.1.13.3.3	Submit ER	1 day	Thu 4/14/16	Thu 4/14/16	399
401	1.3.1.13.3.4	CLIENT RepCLIENTment PM review/comment	3 days	Fri 4/15/16	Tue 4/19/16	400
402	1.3.1.13.3.5	Finalize deliverable and submit	1 day	Wed 4/20/16	Wed 4/20/16	401
403	1.3.1.13.3.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Thu 4/21/16	Thu 4/21/16	402
404	1.3.1.13.4	DDI vendor deliverable: Fully Functional Solution Production Instance	13 days	Fri 8/26/16	Tue 9/13/16	
405	1.3.1.13.4.1	Analyze DDI vendor deliverable	5 days	Fri 8/26/16	Thu 9/1/16	
406	1.3.1.13.4.2	Draft Evaluation Report	2 days	Fri 9/2/16	Mon 9/5/16	405
407	1.3.1.13.4.3	Submit ER	1 day	Tue 9/6/16	Tue 9/6/16	406
408	1.3.1.13.4.4	CLIENT RepCLIENTment PM review/comment	3 days	Wed 9/7/16	Fri 9/9/16	407
409	1.3.1.13.4.5	Finalize deliverable and submit	1 day	Mon 9/12/16	Mon 9/12/16	408
410	1.3.1.13.4.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Tue 9/13/16	Tue 9/13/16	409
411	1.3.1.13.5	DDI vendor deliverable: Solution Test Instance	13 days	Thu 7/21/16	Mon 8/8/16	
412	1.3.1.13.5.1	Analyze DDI vendor deliverable	5 days	Thu 7/21/16	Wed 7/27/16	
413	1.3.1.13.5.2	Draft Evaluation Report	2 days	Thu 7/28/16	Fri 7/29/16	412
414	1.3.1.13.5.3	Submit ER	1 day	Mon 8/1/16	Mon 8/1/16	413
415	1.3.1.13.5.4	CLIENT RepCLIENTment PM review/comment	3 days	Tue 8/2/16	Thu 8/4/16	414
416	1.3.1.13.5.5	Finalize deliverable and submit	1 day	Fri 8/5/16	Fri 8/5/16	415
417	1.3.1.13.5.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Mon 8/8/16	Mon 8/8/16	416
418	1.3.1.13.5.7	DDI vendor deliverable: Solution Test Instance	13 days	Thu 7/21/16	Mon 8/8/16	
419	1.3.1.13.5.7.1	Analyze DDI vendor deliverable	5 days	Thu 7/21/16	Wed 7/27/16	
420	1.3.1.13.5.7.2	Draft Evaluation Report	2 days	Thu 7/28/16	Fri 7/29/16	419
421	1.3.1.13.5.7.3	Submit ER	1 day	Mon 8/1/16	Mon 8/1/16	420
422	1.3.1.13.5.7.4	CLIENT RepCLIENTment PM review/comment	3 days	Tue 8/2/16	Thu 8/4/16	421
423	1.3.1.13.5.7.5	Finalize deliverable and submit	1 day	Fri 8/5/16	Fri 8/5/16	422
424	1.3.1.13.5.7.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Mon 8/8/16	Mon 8/8/16	423
425	1.3.1.14	DDI vendor deliverables - Closeout	13 days	Fri 3/10/17	Tue 3/28/17	
426	1.3.1.14.1	DDI vendor deliverable: Closeout	13 days	Fri 3/10/17	Tue 3/28/17	
427	1.3.1.14.1.1	Analyze DDI vendor deliverable	5 days	Fri 3/10/17	Thu 3/16/17	
428	1.3.1.14.1.2	Draft Evaluation Report	2 days	Fri 3/17/17	Mon 3/20/17	427
429	1.3.1.14.1.3	Submit ER	1 day	Tue 3/21/17	Tue 3/21/17	428
430	1.3.1.14.1.4	CLIENT RepCLIENTment PM review/comment	3 days	Wed 3/22/17	Fri 3/24/17	429
431	1.3.1.14.1.5	Finalize deliverable and submit	1 day	Mon 3/27/17	Mon 3/27/17	430
432	1.3.1.14.1.6	IV&V Deliverable MILESTONE: Approved ER	1 day	Tue 3/28/17	Tue 3/28/17	431
433	1.3.2	Quality Assurance Status and Risk Reports (QASRR)	251 days	Mon 11/2/15	Mon 10/17/16	

APPENDIX A - Sample IVV Schedule

ID	WBS	Task Name	Duration	Start	Finish	Predecessors
434	1.3.2.1	QASRR-01	13 days	Mon 11/2/15	Wed 11/18/15	
435	1.3.2.1.1	Assess and analyze risk	5 days	Mon 11/2/15	Fri 11/6/15	
436	1.3.2.1.2	Assess and analyze issues	5 days	Mon 11/2/15	Fri 11/6/15	
437	1.3.2.1.3	Assess and analyze project scope	5 days	Mon 11/2/15	Fri 11/6/15	
438	1.3.2.1.4	Assess and analyze project schedule/work plan	5 days	Mon 11/2/15	Fri 11/6/15	
439	1.3.2.1.5	Develop findings	2 days	Mon 11/9/15	Tue 11/10/15	435,436,437,438
440	1.3.2.1.6	Develop recommendations for risk mitigation	2 days	Mon 11/9/15	Tue 11/10/15	435,436,437,438
441	1.3.2.1.7	Draft QASRR-01	2 days	Wed 11/11/15	Thu 11/12/15	439,440
442	1.3.2.1.8	Submit QASRR-01	1 day	Fri 11/13/15	Fri 11/13/15	441
443	1.3.2.1.9	CLIENT RepCLIENTment PM review/comment	2 days	Mon 11/16/15	Tue 11/17/15	442
444	1.3.2.1.10	Finalize deliverable and submit	1 day	Wed 11/18/15	Wed 11/18/15	443
445	1.3.2.1.11	IV&V Deliverable MILESTONE: QASRR-01 approved	0 days	Wed 11/18/15	Wed 11/18/15	444
446	1.3.2.2	QASRR-02	12 days	Wed 12/2/15	Thu 12/17/15	434SS+22 days
447	1.3.2.3	QASRR-03	13 days	Fri 1/1/16	Tue 1/19/16	446SS+22 days
448	1.3.2.4	QASRR-04	12 days	Mon 2/1/16	Tue 2/16/16	447SS+21 days
449	1.3.2.5	QASRR-05	13 days	Wed 3/2/16	Fri 3/18/16	448SS+22 days
450	1.3.2.6	QASRR-06	12 days	Fri 4/1/16	Mon 4/18/16	449SS+22 days
451	1.3.2.7	QASRR-07	12 days	Tue 5/3/16	Wed 5/18/16	450SS+22 days
452	1.3.2.8	QASRR-08	12 days	Thu 6/2/16	Fri 6/17/16	451SS+22 days
453	1.3.2.9	QASRR-09	12 days	Fri 7/1/16	Mon 7/18/16	452SS+21 days
454	1.3.2.10	QASRR-10	12 days	Tue 8/2/16	Wed 8/17/16	453SS+22 days
455	1.3.2.11	QASRR-11	12 days	Thu 9/1/16	Fri 9/16/16	454SS+22 days
456	1.3.2.12	QASRR-12	12 days	Fri 9/30/16	Mon 10/17/16	455SS+21 days
457	1.3.3	Participate in JADs and Requirements Validation	256 days	Mon 9/7/15	Mon 8/29/16	2SS+5 days
458	1.3.4	Participate in product development activities	256 days	Mon 9/7/15	Mon 8/29/16	2SS+5 days
459	1.3.5	Testing Monitoring and Assistance	284 days?	Mon 8/31/15	Thu 9/29/16	
460	1.3.5.1	Provide test phase oversight	284 days?	Mon 8/31/15	Thu 9/29/16	
461	1.3.5.1.1	System Testing Oversight	36 days	Wed 4/27/16	Wed 6/15/16	
462	1.3.5.1.1.1	Review DDI Vendor Test Plan	10 days	Wed 4/27/16	Tue 5/10/16	
463	1.3.5.1.1.2	Test Plan recommendations	26 days	Wed 5/11/16	Wed 6/15/16	462
464	1.3.5.1.1.3	Assist with test scenario development	26 days	Wed 5/11/16	Wed 6/15/16	462
465	1.3.5.1.1.4	Assist with data security validation	26 days	Wed 5/11/16	Wed 6/15/16	462
466	1.3.5.1.1.5	Evaluate test results/reports	26 days	Wed 5/11/16	Wed 6/15/16	462
467	1.3.5.1.1.6	Assist CLIENT project staff as needed	36 days	Wed 4/27/16	Wed 6/15/16	462SS
468	1.3.5.1.1.7	IV&V Deliverable MILESTONE: System Testing Oversight Completed	0 days	Wed 6/15/16	Wed 6/15/16	467
469	1.3.5.1.2	Performance Testing Oversight	42 days	Mon 6/6/16	Tue 8/2/16	
470	1.3.5.1.2.1	Review DDI Vendor Test Plan	5 days	Mon 6/6/16	Fri 6/10/16	
471	1.3.5.1.2.2	Test Plan recommendations	37 days	Mon 6/13/16	Tue 8/2/16	470
472	1.3.5.1.2.3	Assist with test scenario development	37 days	Mon 6/13/16	Tue 8/2/16	470
473	1.3.5.1.2.4	Assist with data security validation	37 days	Mon 6/13/16	Tue 8/2/16	470
474	1.3.5.1.2.5	Evaluate test results/reports	37 days	Mon 6/13/16	Tue 8/2/16	470
475	1.3.5.1.2.6	Assist CLIENT project staff as needed	42 days	Mon 6/6/16	Tue 8/2/16	470SS
476	1.3.5.1.2.7	IV&V Deliverable MILESTONE: Performance Testing Oversight Completed	0 days	Tue 8/2/16	Tue 8/2/16	475
477	1.3.5.1.3	Regression Testing Oversight	1 day?	Mon 8/31/15	Mon 8/31/15	
478	1.3.5.1.4	Interface Testing Oversight	43 days	Wed 5/18/16	Fri 7/15/16	
479	1.3.5.1.4.1	Review DDI Vendor Test Plan	5 days	Wed 5/18/16	Tue 5/24/16	

APPENDIX A - Sample IVV Schedule

ID	WBS	Task Name	Duration	Start	Finish	Predecessors
480	1.3.5.1.4.2	Test Plan recommendations	38 days	Wed 5/25/16	Fri 7/15/16	479
481	1.3.5.1.4.3	Assist with test scenario development	38 days	Wed 5/25/16	Fri 7/15/16	479
482	1.3.5.1.4.4	Assist with data security validation	38 days	Wed 5/25/16	Fri 7/15/16	479
483	1.3.5.1.4.5	Evaluate test results/reports	38 days	Wed 5/25/16	Fri 7/15/16	479
484	1.3.5.1.4.6	Assist CLIENT project staff as needed	43 days	Wed 5/18/16	Fri 7/15/16	479SS
485	1.3.5.1.4.7	IV&V Deliverable MILESTONE: Interface Testing Oversight Completed	0 days	Fri 7/15/16	Fri 7/15/16	484
486	1.3.5.1.5	Data Conversion and Migration Testing Oversight	1 day?	Mon 8/31/15	Mon 8/31/15	
487	1.3.5.1.6	Review DDI Vendor Test Plan	5 days	Wed 4/27/16	Tue 5/3/16	
488	1.3.5.1.7	Test Plan recommendations	5 days	Wed 5/4/16	Tue 5/10/16	487
489	1.3.5.1.8	Assist with test scenario development	5 days	Wed 5/4/16	Tue 5/10/16	487
490	1.3.5.1.9	Assist with data security validation	5 days	Wed 5/4/16	Tue 5/10/16	487
491	1.3.5.1.10	Evaluate test results/reports	5 days	Wed 5/4/16	Tue 5/10/16	487
492	1.3.5.1.11	Assist CLIENT project staff as needed	5 days	Wed 4/27/16	Tue 5/3/16	487SS
493	1.3.5.1.12	IV&V Deliverable MILESTONE: Testing Oversight Completed	0 days	Tue 5/3/16	Tue 5/3/16	492
494	1.3.5.1.13	Pilot Testing Oversight	1 day?	Mon 8/31/15	Mon 8/31/15	
495	1.3.5.1.14	Acceptance Testing Oversight	81 days	Thu 6/9/16	Thu 9/29/16	
496	1.3.5.1.14.1	Assist DDI Vendor Test Plan development	81 days	Thu 6/9/16	Thu 9/29/16	
497	1.3.5.1.14.1.1	Test methodology assistance	81 days	Thu 6/9/16	Thu 9/29/16	
498	1.3.5.1.14.1.2	Test design assistance: Criteria, scenarios	81 days	Thu 6/9/16	Thu 9/29/16	497SS
499	1.3.5.1.14.1.3	Evaluate test results/reports	81 days	Thu 6/9/16	Thu 9/29/16	497SS
500	1.3.5.1.14.1.4	Assist CLIENT project staff as needed	81 days	Thu 6/9/16	Thu 9/29/16	497SS
501	1.3.5.1.14.1.5	Review DDI Vendor Test Plan	81 days	Thu 6/9/16	Thu 9/29/16	497SS
502	1.3.5.1.14.1.6	Test Plan recommendations	81 days	Thu 6/9/16	Thu 9/29/16	497SS
503	1.3.5.1.14.1.7	Assist with test scenario development	81 days	Thu 6/9/16	Thu 9/29/16	497SS
504	1.3.5.1.14.1.8	Assist with data security validation	81 days	Thu 6/9/16	Thu 9/29/16	497SS
505	1.3.5.1.14.1.9	IV&V Deliverable MILESTONE: Acceptance Test Technical Results Memorandum	0 days	Thu 9/29/16	Thu 9/29/16	504
506	1.3.6	Weekly Status Meetings (WSMs)	122 days	Mon 8/31/15	Tue 2/16/16	
507	1.3.6.1	WSM-01	3 days	Fri 11/20/15	Tue 11/24/15	
508	1.3.6.1.1	Develop agenda	1 day	Fri 11/20/15	Fri 11/20/15	
509	1.3.6.1.2	Facilitate WSM	1 day	Mon 11/23/15	Mon 11/23/15	508
510	1.3.6.1.3	Develop and publish meeting minutes	1 day	Tue 11/24/15	Tue 11/24/15	509
511	1.3.6.1.4	IV&V Deliverable MILESTONE: WSM Minutes approved	0 days	Tue 11/24/15	Tue 11/24/15	510
512	1.3.6.2	WSM-02	3 days	Fri 11/27/15	Tue 12/1/15	
513	1.3.6.2.1	Develop agenda	1 day	Fri 11/27/15	Fri 11/27/15	508SS+5 days
514	1.3.6.2.2	Facilitate WSM	1 day	Mon 11/30/15	Mon 11/30/15	513
515	1.3.6.2.3	Develop and publish meeting minutes	1 day	Tue 12/1/15	Tue 12/1/15	514
516	1.3.6.2.4	IV&V Deliverable MILESTONE: WSM Minutes approved	0 days	Tue 12/1/15	Tue 12/1/15	515
517	1.3.6.3	WSM-03	3 days	Fri 12/4/15	Tue 12/8/15	
518	1.3.6.3.1	Develop agenda	1 day	Fri 12/4/15	Fri 12/4/15	513SS+5 days
519	1.3.6.3.2	Facilitate WSM	1 day	Mon 12/7/15	Mon 12/7/15	518
520	1.3.6.3.3	Develop and publish meeting minutes	1 day	Tue 12/8/15	Tue 12/8/15	519
521	1.3.6.3.4	IV&V Deliverable MILESTONE: WSM Minutes approved	0 days	Tue 12/8/15	Tue 12/8/15	520
522	1.3.6.4	WSM-04	3 days	Fri 12/11/15	Tue 12/15/15	
523	1.3.6.4.1	Develop agenda	1 day	Fri 12/11/15	Fri 12/11/15	518SS+5 days
524	1.3.6.4.2	Facilitate WSM	1 day	Mon 12/14/15	Mon 12/14/15	523
525	1.3.6.4.3	Develop and publish meeting minutes	1 day	Tue 12/15/15	Tue 12/15/15	524
526	1.3.6.4.4	IV&V Deliverable MILESTONE: WSM Minutes approved	0 days	Tue 12/15/15	Tue 12/15/15	525

APPENDIX A - Sample IVV Schedule

ID	WBS	Task Name	Duration	Start	Finish	Predecessors
527	1.3.6.5	WSM-05	3 days	Fri 12/18/15	Tue 12/22/15	
528	1.3.6.5.1	Develop agenda	1 day	Fri 12/18/15	Fri 12/18/15	523SS+5 days
529	1.3.6.5.2	Facilitate WSM	1 day	Mon 12/21/15	Mon 12/21/15	528
530	1.3.6.5.3	Develop and publish meeting minutes	1 day	Tue 12/22/15	Tue 12/22/15	529
531	1.3.6.5.4	IV&V Deliverable MILESTONE: WSM Minutes approved	0 days	Tue 12/22/15	Tue 12/22/15	530
532	1.3.6.6	WSM-06	3 days	Fri 12/25/15	Tue 12/29/15	
533	1.3.6.6.1	Develop agenda	1 day	Fri 12/25/15	Fri 12/25/15	528SS+5 days
534	1.3.6.6.2	Facilitate WSM	1 day	Mon 12/28/15	Mon 12/28/15	533
535	1.3.6.6.3	Develop and publish meeting minutes	1 day	Tue 12/29/15	Tue 12/29/15	534
536	1.3.6.6.4	IV&V Deliverable MILESTONE: WSM Minutes approved	0 days	Tue 12/29/15	Tue 12/29/15	535
537	1.3.6.7	WSM-07	3 days	Fri 1/1/16	Tue 1/5/16	
538	1.3.6.7.1	Develop agenda	1 day	Fri 1/1/16	Fri 1/1/16	533SS+5 days
539	1.3.6.7.2	Facilitate WSM	1 day	Mon 1/4/16	Mon 1/4/16	538
540	1.3.6.7.3	Develop and publish meeting minutes	1 day	Tue 1/5/16	Tue 1/5/16	539
541	1.3.6.7.4	IV&V Deliverable MILESTONE: WSM Minutes approved	0 days	Tue 1/5/16	Tue 1/5/16	540
542	1.3.6.8	WSM-08	3 days	Fri 1/8/16	Tue 1/12/16	
543	1.3.6.8.1	Develop agenda	1 day	Fri 1/8/16	Fri 1/8/16	538SS+5 days
544	1.3.6.8.2	Facilitate WSM	1 day	Mon 1/11/16	Mon 1/11/16	543
545	1.3.6.8.3	Develop and publish meeting minutes	1 day	Tue 1/12/16	Tue 1/12/16	544
546	1.3.6.8.4	IV&V Deliverable MILESTONE: WSM Minutes approved	0 days	Tue 1/12/16	Tue 1/12/16	545
547	1.3.6.9	WSM-09	3 days	Fri 1/15/16	Tue 1/19/16	
548	1.3.6.9.1	Develop agenda	1 day	Fri 1/15/16	Fri 1/15/16	543SS+5 days
549	1.3.6.9.2	Facilitate WSM	1 day	Mon 1/18/16	Mon 1/18/16	548
550	1.3.6.9.3	Develop and publish meeting minutes	1 day	Tue 1/19/16	Tue 1/19/16	549
551	1.3.6.9.4	IV&V Deliverable MILESTONE: WSM Minutes approved	0 days	Tue 1/19/16	Tue 1/19/16	550
552	1.3.6.10	WSM-10	3 days	Fri 1/22/16	Tue 1/26/16	
553	1.3.6.10.1	Develop agenda	1 day	Fri 1/22/16	Fri 1/22/16	548SS+5 days
554	1.3.6.10.2	Facilitate WSM	1 day	Mon 1/25/16	Mon 1/25/16	553
555	1.3.6.10.3	Develop and publish meeting minutes	1 day	Tue 1/26/16	Tue 1/26/16	554
556	1.3.6.10.4	IV&V Deliverable MILESTONE: WSM Minutes approved	0 days	Tue 1/26/16	Tue 1/26/16	555
557	1.3.6.11	WSM-11	3 days	Fri 1/29/16	Tue 2/2/16	
558	1.3.6.11.1	Develop agenda	1 day	Fri 1/29/16	Fri 1/29/16	553SS+5 days
559	1.3.6.11.2	Facilitate WSM	1 day	Mon 2/1/16	Mon 2/1/16	558
560	1.3.6.11.3	Develop and publish meeting minutes	1 day	Tue 2/2/16	Tue 2/2/16	559
561	1.3.6.11.4	IV&V Deliverable MILESTONE: WSM Minutes approved	0 days	Tue 2/2/16	Tue 2/2/16	560
562	1.3.6.12	WSM-12	3 days	Fri 2/5/16	Tue 2/9/16	
563	1.3.6.12.1	Develop agenda	1 day	Fri 2/5/16	Fri 2/5/16	558SS+5 days
564	1.3.6.12.2	Facilitate WSM	1 day	Mon 2/8/16	Mon 2/8/16	563
565	1.3.6.12.3	Develop and publish meeting minutes	1 day	Tue 2/9/16	Tue 2/9/16	564
566	1.3.6.12.4	IV&V Deliverable MILESTONE: WSM Minutes approved	0 days	Tue 2/9/16	Tue 2/9/16	565
567	1.3.6.13	WSM-13	3 days	Fri 2/12/16	Tue 2/16/16	
568	1.3.6.13.1	Develop agenda	1 day	Fri 2/12/16	Fri 2/12/16	563SS+5 days
569	1.3.6.13.2	Facilitate WSM	1 day	Mon 2/15/16	Mon 2/15/16	568
570	1.3.6.13.3	Develop and publish meeting minutes	1 day	Tue 2/16/16	Tue 2/16/16	569
571	1.3.6.13.4	IV&V Deliverable MILESTONE: WSM Minutes approved	0 days	Tue 2/16/16	Tue 2/16/16	570
572	1.3.6.14	WSM-14	2 days	Mon 8/31/15	Tue 9/1/15	
573	1.3.6.15	WSM-15	2 days	Mon 8/31/15	Tue 9/1/15	
574	1.3.6.16	WSM-16	2 days	Mon 8/31/15	Tue 9/1/15	
575	1.3.6.17	WSM-17	2 days	Mon 8/31/15	Tue 9/1/15	

APPENDIX A - Sample IVV Schedule

ID	WBS	Task Name	Duration	Start	Finish	Predecessors
576	1.3.6.18	WSM-18	2 days	Mon 8/31/15	Tue 9/1/15	
577	1.3.6.19	WSM-19	2 days	Mon 8/31/15	Tue 9/1/15	
578	1.3.6.20	WSM-20	2 days	Mon 8/31/15	Tue 9/1/15	
579	1.3.6.21	WSM-21	2 days	Mon 8/31/15	Tue 9/1/15	
580	1.3.6.22	WSM-22	2 days	Mon 8/31/15	Tue 9/1/15	
581	1.3.6.23	WSM-23	2 days	Mon 8/31/15	Tue 9/1/15	
582	1.3.6.24	WSM-24	2 days	Mon 8/31/15	Tue 9/1/15	
583	1.3.6.25	WSM-25	2 days	Mon 8/31/15	Tue 9/1/15	
584	1.3.6.26	WSM-26	2 days	Mon 8/31/15	Tue 9/1/15	
585	1.3.6.27	WSM-27	2 days	Mon 8/31/15	Tue 9/1/15	
586	1.3.6.28	WSM-28	2 days	Mon 8/31/15	Tue 9/1/15	
587	1.3.6.29	WSM-29	2 days	Mon 8/31/15	Tue 9/1/15	
588	1.3.6.30	WSM-30	2 days	Mon 8/31/15	Tue 9/1/15	
589	1.3.6.31	WSM-31	2 days	Mon 8/31/15	Tue 9/1/15	
590	1.3.6.32	WSM-32	2 days	Mon 8/31/15	Tue 9/1/15	
591	1.3.6.33	WSM-33	2 days	Mon 8/31/15	Tue 9/1/15	
592	1.3.6.34	WSM-34	2 days	Mon 8/31/15	Tue 9/1/15	
593	1.3.6.35	WSM-35	2 days	Mon 8/31/15	Tue 9/1/15	
594	1.3.6.36	WSM-36	2 days	Mon 8/31/15	Tue 9/1/15	
595	1.3.6.37	WSM-37	2 days	Mon 8/31/15	Tue 9/1/15	
596	1.3.6.38	WSM-38	2 days	Mon 8/31/15	Tue 9/1/15	
597	1.3.6.39	WSM-39	2 days	Mon 8/31/15	Tue 9/1/15	
598	1.3.6.40	WSM-40	2 days	Mon 8/31/15	Tue 9/1/15	
599	1.3.6.41	WSM-41	2 days	Mon 8/31/15	Tue 9/1/15	
600	1.3.6.42	WSM-42	2 days	Mon 8/31/15	Tue 9/1/15	
601	1.3.6.43	WSM-43	2 days	Mon 8/31/15	Tue 9/1/15	
602	1.3.6.44	WSM-44	2 days	Mon 8/31/15	Tue 9/1/15	
603	1.3.6.45	WSM-45	2 days	Mon 8/31/15	Tue 9/1/15	
604	1.3.6.46	WSM-46	2 days	Mon 8/31/15	Tue 9/1/15	
605	1.3.6.47	WSM-47	2 days	Mon 8/31/15	Tue 9/1/15	
606	1.3.6.48	WSM-48	2 days	Mon 8/31/15	Tue 9/1/15	
607	1.3.6.49	WSM-49	2 days	Mon 8/31/15	Tue 9/1/15	
608	1.3.6.50	WSM-50	2 days	Mon 8/31/15	Tue 9/1/15	
609	1.3.6.51	WSM-51	2 days	Mon 8/31/15	Tue 9/1/15	
610	1.3.6.52	WSM-52	2 days	Mon 8/31/15	Tue 9/1/15	
611	1.3.7	Weekly Status Reports (WSRs)	59 days	Thu 11/19/15	Tue 2/9/16	
612	1.3.7.1	WSR-01	2 days	Thu 11/19/15	Fri 11/20/15	
613	1.3.7.1.1	Gather accomplishments	1 day	Thu 11/19/15	Thu 11/19/15	
614	1.3.7.1.2	Document completed contract tasks	1 day	Thu 11/19/15	Thu 11/19/15	613SS
615	1.3.7.1.3	Update project completion dates (remaining tasks)	1 day	Thu 11/19/15	Thu 11/19/15	613SS
616	1.3.7.1.4	Write project completion status	1 day	Thu 11/19/15	Thu 11/19/15	613SS
617	1.3.7.1.5	Project problem/issue and resolution status	1 day	Thu 11/19/15	Thu 11/19/15	613SS
618	1.3.7.1.6	Plans for next reporting period	1 day	Thu 11/19/15	Thu 11/19/15	613SS
619	1.3.7.1.7	Finalize and submit WSR-01	1 day	Thu 11/19/15	Thu 11/19/15	613SS
620	1.3.7.1.8	CLIENT RepCL/ENTment PM review/comment	1 day	Fri 11/20/15	Fri 11/20/15	619
621	1.3.7.1.9	IV&V Deliverable MILESTONE: WSR approved	0 days	Fri 11/20/15	Fri 11/20/15	620
622	1.3.7.2	WSR-02	2 days	Thu 11/26/15	Fri 11/27/15	
623	1.3.7.2.1	Gather accomplishments	1 day	Thu 11/26/15	Thu 11/26/15	613SS+5 days
624	1.3.7.2.2	Document completed contract tasks	1 day	Thu 11/26/15	Thu 11/26/15	623SS

APPENDIX A - Sample IVV Schedule

ID	WBS	Task Name	Duration	Start	Finish	Predecessors
625	1.3.7.2.3	Update project completion dates (remaining tasks)	1 day	Thu 11/26/15	Thu 11/26/15	623SS
626	1.3.7.2.4	Write project completion status	1 day	Thu 11/26/15	Thu 11/26/15	623SS
627	1.3.7.2.5	Project problem/issue and resolution status	1 day	Thu 11/26/15	Thu 11/26/15	623SS
628	1.3.7.2.6	Plans for next reporting period	1 day	Thu 11/26/15	Thu 11/26/15	623SS
629	1.3.7.2.7	Finalize and submit WSR-01	1 day	Thu 11/26/15	Thu 11/26/15	623SS
630	1.3.7.2.8	CLIENT RepCLIENTment PM review/comment	1 day	Fri 11/27/15	Fri 11/27/15	629
631	1.3.7.2.9	IV&V Deliverable MILESTONE: WSR approved	0 days	Fri 11/27/15	Fri 11/27/15	630
632	1.3.7.3	WSR-03	2 days	Thu 12/3/15	Fri 12/4/15	
633	1.3.7.3.1	Gather accomplishments	1 day	Thu 12/3/15	Thu 12/3/15	623SS+5 days
634	1.3.7.3.2	Document completed contract tasks	1 day	Thu 12/3/15	Thu 12/3/15	633SS
635	1.3.7.3.3	Update project completion dates (remaining tasks)	1 day	Thu 12/3/15	Thu 12/3/15	633SS
636	1.3.7.3.4	Write project completion status	1 day	Thu 12/3/15	Thu 12/3/15	633SS
637	1.3.7.3.5	Project problem/issue and resolution status	1 day	Thu 12/3/15	Thu 12/3/15	633SS
638	1.3.7.3.6	Plans for next reporting period	1 day	Thu 12/3/15	Thu 12/3/15	633SS
639	1.3.7.3.7	Finalize and submit WSR-01	1 day	Thu 12/3/15	Thu 12/3/15	633SS
640	1.3.7.3.8	CLIENT RepCLIENTment PM review/comment	1 day	Fri 12/4/15	Fri 12/4/15	639
641	1.3.7.3.9	IV&V Deliverable MILESTONE: WSR approved	0 days	Fri 12/4/15	Fri 12/4/15	640
642	1.3.7.4	WSR-04	2 days	Thu 12/10/15	Fri 12/11/15	
643	1.3.7.4.1	Gather accomplishments	1 day	Thu 12/10/15	Thu 12/10/15	633SS+5 days
644	1.3.7.4.2	Document completed contract tasks	1 day	Thu 12/10/15	Thu 12/10/15	643SS
645	1.3.7.4.3	Update project completion dates (remaining tasks)	1 day	Thu 12/10/15	Thu 12/10/15	643SS
646	1.3.7.4.4	Write project completion status	1 day	Thu 12/10/15	Thu 12/10/15	643SS
647	1.3.7.4.5	Project problem/issue and resolution status	1 day	Thu 12/10/15	Thu 12/10/15	643SS
648	1.3.7.4.6	Plans for next reporting period	1 day	Thu 12/10/15	Thu 12/10/15	643SS
649	1.3.7.4.7	Finalize and submit WSR-01	1 day	Thu 12/10/15	Thu 12/10/15	643SS
650	1.3.7.4.8	CLIENT RepCLIENTment PM review/comment	1 day	Fri 12/11/15	Fri 12/11/15	649
651	1.3.7.4.9	IV&V Deliverable MILESTONE: WSR approved	0 days	Fri 12/11/15	Fri 12/11/15	650
652	1.3.7.5	WSR-05	2 days	Thu 11/19/15	Fri 11/20/15	
653	1.3.7.6	Gather accomplishments	1 day	Thu 12/17/15	Thu 12/17/15	643SS+5 days
654	1.3.7.7	Document completed contract tasks	1 day	Thu 12/17/15	Thu 12/17/15	653SS
655	1.3.7.8	Update project completion dates (remaining tasks)	1 day	Thu 12/17/15	Thu 12/17/15	653SS
656	1.3.7.9	Write project completion status	1 day	Thu 12/17/15	Thu 12/17/15	653SS
657	1.3.7.10	Project problem/issue and resolution status	1 day	Thu 12/17/15	Thu 12/17/15	653SS
658	1.3.7.11	Plans for next reporting period	1 day	Thu 12/17/15	Thu 12/17/15	653SS
659	1.3.7.12	Finalize and submit WSR-01	1 day	Thu 12/17/15	Thu 12/17/15	653SS
660	1.3.7.13	CLIENT RepCLIENTment PM review/comment	1 day	Fri 12/18/15	Fri 12/18/15	659
661	1.3.7.14	IV&V Deliverable MILESTONE: WSR approved	0 days	Fri 12/18/15	Fri 12/18/15	660
662	1.3.7.15	WSR-06	2 days	Thu 12/24/15	Fri 12/25/15	
663	1.3.7.15.1	Gather accomplishments	1 day	Thu 12/24/15	Thu 12/24/15	653SS+5 days
664	1.3.7.15.2	Document completed contract tasks	1 day	Thu 12/24/15	Thu 12/24/15	663SS
665	1.3.7.15.3	Update project completion dates (remaining tasks)	1 day	Thu 12/24/15	Thu 12/24/15	663SS
666	1.3.7.15.4	Write project completion status	1 day	Thu 12/24/15	Thu 12/24/15	663SS
667	1.3.7.15.5	Project problem/issue and resolution status	1 day	Thu 12/24/15	Thu 12/24/15	663SS
668	1.3.7.15.6	Plans for next reporting period	1 day	Thu 12/24/15	Thu 12/24/15	663SS
669	1.3.7.15.7	Finalize and submit WSR-01	1 day	Thu 12/24/15	Thu 12/24/15	663SS
670	1.3.7.15.8	CLIENT RepCLIENTment PM review/comment	1 day	Fri 12/25/15	Fri 12/25/15	669
671	1.3.7.15.9	IV&V Deliverable MILESTONE: WSR approved	0 days	Fri 12/25/15	Fri 12/25/15	670
672	1.3.7.16	WSR-07	2 days	Thu 12/31/15	Fri 1/1/16	
673	1.3.7.16.1	Gather accomplishments	1 day	Thu 12/31/15	Thu 12/31/15	663SS+5 days

APPENDIX A - Sample IVV Schedule

ID	WBS	Task Name	Duration	Start	Finish	Predecessors
674	1.3.7.16.2	Document completed contract tasks	1 day	Thu 12/31/15	Thu 12/31/15	673SS
675	1.3.7.16.3	Update project completion dates (remaining tasks)	1 day	Thu 12/31/15	Thu 12/31/15	673SS
676	1.3.7.16.4	Write project completion status	1 day	Thu 12/31/15	Thu 12/31/15	673SS
677	1.3.7.16.5	Project problem/issue and resolution status	1 day	Thu 12/31/15	Thu 12/31/15	673SS
678	1.3.7.16.6	Plans for next reporting period	1 day	Thu 12/31/15	Thu 12/31/15	673SS
679	1.3.7.16.7	Finalize and submit WSR-01	1 day	Thu 12/31/15	Thu 12/31/15	673SS
680	1.3.7.16.8	CLIENT RepCLIENTment PM review/comment	1 day	Fri 1/1/16	Fri 1/1/16	679
681	1.3.7.16.9	IV&V Deliverable MILESTONE: WSR approved	0 days	Fri 1/1/16	Fri 1/1/16	680
682	1.3.7.17	WSR-08	2 days	Thu 1/7/16	Fri 1/8/16	
683	1.3.7.17.1	Gather accomplishments	1 day	Thu 1/7/16	Thu 1/7/16	673SS+5 days
684	1.3.7.17.2	Document completed contract tasks	1 day	Thu 1/7/16	Thu 1/7/16	683SS
685	1.3.7.17.3	Update project completion dates (remaining tasks)	1 day	Thu 1/7/16	Thu 1/7/16	683SS
686	1.3.7.17.4	Write project completion status	1 day	Thu 1/7/16	Thu 1/7/16	683SS
687	1.3.7.17.5	Project problem/issue and resolution status	1 day	Thu 1/7/16	Thu 1/7/16	683SS
688	1.3.7.17.6	Plans for next reporting period	1 day	Thu 1/7/16	Thu 1/7/16	683SS
689	1.3.7.17.7	Finalize and submit WSR-01	1 day	Thu 1/7/16	Thu 1/7/16	683SS
690	1.3.7.17.8	CLIENT RepCLIENTment PM review/comment	1 day	Fri 1/8/16	Fri 1/8/16	689
691	1.3.7.17.9	IV&V Deliverable MILESTONE: WSR approved	0 days	Fri 1/8/16	Fri 1/8/16	690
692	1.3.7.18	WSR-09	2 days	Thu 1/14/16	Fri 1/15/16	
693	1.3.7.18.1	Gather accomplishments	1 day	Thu 1/14/16	Thu 1/14/16	683SS+5 days
694	1.3.7.18.2	Document completed contract tasks	1 day	Thu 1/14/16	Thu 1/14/16	693SS
695	1.3.7.18.3	Update project completion dates (remaining tasks)	1 day	Thu 1/14/16	Thu 1/14/16	693SS
696	1.3.7.18.4	Write project completion status	1 day	Thu 1/14/16	Thu 1/14/16	693SS
697	1.3.7.18.5	Project problem/issue and resolution status	1 day	Thu 1/14/16	Thu 1/14/16	693SS
698	1.3.7.18.6	Plans for next reporting period	1 day	Thu 1/14/16	Thu 1/14/16	693SS
699	1.3.7.18.7	Finalize and submit WSR-01	1 day	Thu 1/14/16	Thu 1/14/16	693SS
700	1.3.7.18.8	CLIENT RepCLIENTment PM review/comment	1 day	Fri 1/15/16	Fri 1/15/16	699
701	1.3.7.18.9	IV&V Deliverable MILESTONE: WSR approved	0 days	Fri 1/15/16	Fri 1/15/16	700
702	1.3.7.19	WSR-10	2 days	Thu 1/21/16	Fri 1/22/16	
703	1.3.7.19.1	Gather accomplishments	1 day	Thu 1/21/16	Thu 1/21/16	693SS+5 days
704	1.3.7.19.2	Document completed contract tasks	1 day	Thu 1/21/16	Thu 1/21/16	703SS
705	1.3.7.19.3	Update project completion dates (remaining tasks)	1 day	Thu 1/21/16	Thu 1/21/16	703SS
706	1.3.7.19.4	Write project completion status	1 day	Thu 1/21/16	Thu 1/21/16	703SS
707	1.3.7.19.5	Project problem/issue and resolution status	1 day	Thu 1/21/16	Thu 1/21/16	703SS
708	1.3.7.19.6	Plans for next reporting period	1 day	Thu 1/21/16	Thu 1/21/16	703SS
709	1.3.7.19.7	Finalize and submit WSR-01	1 day	Thu 1/21/16	Thu 1/21/16	703SS
710	1.3.7.19.8	CLIENT RepCLIENTment PM review/comment	1 day	Fri 1/22/16	Fri 1/22/16	709
711	1.3.7.19.9	IV&V Deliverable MILESTONE: WSR approved	0 days	Fri 1/22/16	Fri 1/22/16	710
712	1.3.7.20	WSR-11	2 days	Thu 1/28/16	Fri 1/29/16	
713	1.3.7.20.1	Gather accomplishments	1 day	Thu 1/28/16	Thu 1/28/16	703SS+5 days
714	1.3.7.20.2	Document completed contract tasks	1 day	Thu 1/28/16	Thu 1/28/16	713SS
715	1.3.7.20.3	Update project completion dates (remaining tasks)	1 day	Thu 1/28/16	Thu 1/28/16	713SS
716	1.3.7.20.4	Write project completion status	1 day	Thu 1/28/16	Thu 1/28/16	713SS
717	1.3.7.20.5	Project problem/issue and resolution status	1 day	Thu 1/28/16	Thu 1/28/16	713SS
718	1.3.7.20.6	Plans for next reporting period	1 day	Thu 1/28/16	Thu 1/28/16	713SS
719	1.3.7.20.7	Finalize and submit WSR-01	1 day	Thu 1/28/16	Thu 1/28/16	713SS
720	1.3.7.20.8	CLIENT RepCLIENTment PM review/comment	1 day	Fri 1/29/16	Fri 1/29/16	719
721	1.3.7.20.9	IV&V Deliverable MILESTONE: WSR approved	0 days	Fri 1/29/16	Fri 1/29/16	720
722	1.3.7.21	WSR-12	2 days	Thu 2/4/16	Fri 2/5/16	

APPENDIX A - Sample IVV Schedule

ID	WBS	Task Name	Duration	Start	Finish	Predecessors
723	1.3.7.21.1	Gather accomplishments	1 day	Thu 2/4/16	Thu 2/4/16	713SS+5 days
724	1.3.7.21.2	Document completed contract tasks	1 day	Thu 2/4/16	Thu 2/4/16	723SS
725	1.3.7.21.3	Update project completion dates (remaining tasks)	1 day	Thu 2/4/16	Thu 2/4/16	723SS
726	1.3.7.21.4	Write project completion status	1 day	Thu 2/4/16	Thu 2/4/16	723SS
727	1.3.7.21.5	Project problem/issue and resolution status	1 day	Thu 2/4/16	Thu 2/4/16	723SS
728	1.3.7.21.6	Plans for next reporting period	1 day	Thu 2/4/16	Thu 2/4/16	723SS
729	1.3.7.21.7	Finalize and submit WSR-01	1 day	Thu 2/4/16	Thu 2/4/16	723SS
730	1.3.7.21.8	CLIENT RepCLIENTment PM review/comment	1 day	Fri 2/5/16	Fri 2/5/16	729
731	1.3.7.21.9	IV&V Deliverable MILESTONE: WSR approved	0 days	Fri 2/5/16	Fri 2/5/16	730
732	1.3.7.22	WSR-13	2 days	Thu 2/11/16	Fri 2/12/16	
733	1.3.7.22.1	Gather accomplishments	1 day	Thu 2/11/16	Thu 2/11/16	723SS+5 days
734	1.3.7.22.2	Document completed contract tasks	1 day	Thu 2/11/16	Thu 2/11/16	733SS
735	1.3.7.22.3	Update project completion dates (remaining tasks)	1 day	Thu 2/11/16	Thu 2/11/16	733SS
736	1.3.7.22.4	Write project completion status	1 day	Thu 2/11/16	Thu 2/11/16	733SS
737	1.3.7.22.5	Project problem/issue and resolution status	1 day	Thu 2/11/16	Thu 2/11/16	733SS
738	1.3.7.22.6	Plans for next reporting period	1 day	Thu 2/11/16	Thu 2/11/16	733SS
739	1.3.7.22.7	Finalize and submit WSR-01	1 day	Thu 2/11/16	Thu 2/11/16	733SS
740	1.3.7.22.8	CLIENT RepCLIENTment PM review/comment	1 day	Fri 2/12/16	Fri 2/12/16	739
741	1.3.7.22.9	IV&V Deliverable MILESTONE: WSR approved	0 days	Fri 2/12/16	Fri 2/12/16	740
742	1.3.7.23	WSR-14	2 days	Thu 11/19/15	Fri 11/20/15	
743	1.3.7.24	WSR-15	2 days	Thu 11/19/15	Fri 11/20/15	
744	1.3.7.25	WSR-16	2 days	Thu 11/19/15	Fri 11/20/15	
745	1.3.7.26	WSR-17	2 days	Thu 11/19/15	Fri 11/20/15	
746	1.3.7.27	WSR-18	2 days	Thu 11/19/15	Fri 11/20/15	
747	1.3.7.28	WSR-19	2 days	Thu 11/19/15	Fri 11/20/15	
748	1.3.7.29	WSR-20	2 days	Thu 11/19/15	Fri 11/20/15	
749	1.3.7.30	WSR-21	2 days	Thu 11/19/15	Fri 11/20/15	
750	1.3.7.31	WSR-22	2 days	Thu 11/19/15	Fri 11/20/15	
751	1.3.7.32	WSR-23	2 days	Thu 11/19/15	Fri 11/20/15	
752	1.3.7.33	WSR-24	2 days	Thu 11/19/15	Fri 11/20/15	
753	1.3.7.34	WSR-25	2 days	Thu 11/19/15	Fri 11/20/15	
754	1.3.7.35	WSR-26	2 days	Thu 11/19/15	Fri 11/20/15	
755	1.3.7.36	WSR-27	2 days	Thu 11/19/15	Fri 11/20/15	
756	1.3.7.37	WSR-28	2 days	Thu 11/19/15	Fri 11/20/15	
757	1.3.7.38	WSR-29	2 days	Thu 11/19/15	Fri 11/20/15	
758	1.3.7.39	WSR-30	2 days	Thu 11/19/15	Fri 11/20/15	
759	1.3.7.40	WSR-31	2 days	Thu 11/19/15	Fri 11/20/15	
760	1.3.7.41	WSR-32	2 days	Thu 11/19/15	Fri 11/20/15	
761	1.3.7.42	WSR-33	2 days	Thu 11/19/15	Fri 11/20/15	
762	1.3.7.43	WSR-34	2 days	Thu 11/19/15	Fri 11/20/15	
763	1.3.7.44	WSR-35	2 days	Thu 11/19/15	Fri 11/20/15	
764	1.3.7.45	WSR-36	2 days	Thu 11/19/15	Fri 11/20/15	
765	1.3.7.46	WSR-37	2 days	Thu 11/19/15	Fri 11/20/15	
766	1.3.7.47	WSR-38	2 days	Thu 11/19/15	Fri 11/20/15	
767	1.3.7.48	WSR-39	2 days	Thu 11/19/15	Fri 11/20/15	
768	1.3.7.49	WSR-40	2 days	Thu 11/19/15	Fri 11/20/15	
769	1.3.7.50	WSR-41	2 days	Thu 11/19/15	Fri 11/20/15	
770	1.3.7.51	WSR-42	2 days	Thu 11/19/15	Fri 11/20/15	
771	1.3.7.52	WSR-43	2 days	Thu 11/19/15	Fri 11/20/15	

APPENDIX A - Sample IVV Schedule

ID	WBS	Task Name	Duration	Start	Finish	Predecessors
772	1.3.7.53	WSR-44	2 days	Thu 11/19/15	Fri 11/20/15	
773	1.3.7.54	WSR-45	2 days	Thu 11/19/15	Fri 11/20/15	
774	1.3.7.55	WSR-46	2 days	Thu 11/19/15	Fri 11/20/15	
775	1.3.7.56	WSR-47	2 days	Thu 11/19/15	Fri 11/20/15	
776	1.3.7.57	WSR-48	2 days	Thu 11/19/15	Fri 11/20/15	
777	1.3.7.58	WSR-49	2 days	Thu 11/19/15	Fri 11/20/15	
778	1.3.7.59	WSR-50	2 days	Thu 11/19/15	Fri 11/20/15	
779	1.3.7.60	WSR-51	2 days	Thu 11/19/15	Fri 11/20/15	
780	1.3.7.61	WSR-52	2 days	Thu 11/19/15	Fri 11/20/15	
781	1.3.8	IV&V Schedule Updates for DDI Project Management Plan	9 days	Mon 8/31/15	Thu 9/10/15	
782	1.3.8.1	Work Plan Update 01	9 days	Mon 8/31/15	Thu 9/10/15	
783	1.3.8.1.1	Analyze DDI vendor Work Plan and PMP	2 days	Mon 8/31/15	Tue 9/1/15	
784	1.3.8.1.2	Update IV&V work plan	1 day	Wed 9/2/15	Wed 9/2/15	783
785	1.3.8.1.3	Submit IV&V Work Plan	1 day	Thu 9/3/15	Thu 9/3/15	784
786	1.3.8.1.4	DDI Vendor and CLIENT PMs review/comment	3 days	Fri 9/4/15	Tue 9/8/15	785
787	1.3.8.1.5	Finalize deliverable and submit	2 days	Wed 9/9/15	Thu 9/10/15	786
788	1.3.8.1.6	IV&V Deliverable MILESTONE: Approved IV&V schedule update	0 days	Thu 9/10/15	Thu 9/10/15	787
789	1.3.8.2	Schedule Update 02	6 days	Mon 8/31/15	Mon 9/7/15	
790	1.3.8.3	Schedule Update 03	6 days	Mon 8/31/15	Mon 9/7/15	
791	1.3.9	Updated Quality Management Plan (QMP)	274 days	Mon 2/22/16	Thu 3/9/17	
792	1.3.9.1	QMP Update 01	8 days	Mon 2/22/16	Wed 3/2/16	
793	1.3.9.1.1	Review vendor DDI schedule	1 day	Mon 2/22/16	Mon 2/22/16	3SS+125 days
794	1.3.9.1.2	Identify objectives, milestones and deliverables	1 day	Tue 2/23/16	Tue 2/23/16	793
795	1.3.9.1.3	Review/comment on DDI vendor Work Plan	1 day	Wed 2/24/16	Wed 2/24/16	794
796	1.3.9.1.4	Update compliance monitoring methodology	1 day	Thu 2/25/16	Thu 2/25/16	795
797	1.3.9.1.5	Update risk mitigation and analysis plan	1 day	Fri 2/26/16	Fri 2/26/16	796
798	1.3.9.1.6	Submit QMP	1 day	Mon 2/29/16	Mon 2/29/16	797
799	1.3.9.1.7	CLIENT RepCLIENTment PM review/comment	1 day	Tue 3/1/16	Tue 3/1/16	798
800	1.3.9.1.8	Finalize deliverable and submit	1 day	Wed 3/2/16	Wed 3/2/16	799
801	1.3.9.1.9	IV&V Deliverable MILESTONE: Approved QMP update	0 days	Wed 3/2/16	Wed 3/2/16	800
802	1.3.9.2	QMP Update 02	8 days	Thu 8/25/16	Mon 9/5/16	
803	1.3.9.2.1	Review vendor DDI schedule	1 day	Thu 8/25/16	Thu 8/25/16	801SS+125 days
804	1.3.9.2.2	Identify objectives, milestones and deliverables	1 day	Fri 8/26/16	Fri 8/26/16	803
805	1.3.9.2.3	Review/comment on DDI vendor Work Plan	1 day	Mon 8/29/16	Mon 8/29/16	804
806	1.3.9.2.4	Update compliance monitoring methodology	1 day	Tue 8/30/16	Tue 8/30/16	805
807	1.3.9.2.5	Update risk mitigation and analysis plan	1 day	Wed 8/31/16	Wed 8/31/16	806
808	1.3.9.2.6	Submit QMP	1 day	Thu 9/1/16	Thu 9/1/16	807
809	1.3.9.2.7	CLIENT RepCLIENTment PM review/comment	1 day	Fri 9/2/16	Fri 9/2/16	808
810	1.3.9.2.8	Finalize deliverable and submit	1 day	Mon 9/5/16	Mon 9/5/16	809
811	1.3.9.2.9	IV&V Deliverable MILESTONE: Approved QMP update	0 days	Mon 9/5/16	Mon 9/5/16	810
812	1.3.9.3	QMP Update 03	8 days	Tue 2/28/17	Thu 3/9/17	
813	1.3.9.3.1	Review vendor DDI schedule	1 day	Tue 2/28/17	Tue 2/28/17	811SS+125 days
814	1.3.9.3.2	Identify objectives, milestones and deliverables	1 day	Wed 3/1/17	Wed 3/1/17	813
815	1.3.9.3.3	Review/comment on DDI vendor Work Plan	1 day	Thu 3/2/17	Thu 3/2/17	814
816	1.3.9.3.4	Update compliance monitoring methodology	1 day	Fri 3/3/17	Fri 3/3/17	815
817	1.3.9.3.5	Update risk mitigation and analysis plan	1 day	Mon 3/6/17	Mon 3/6/17	816
818	1.3.9.3.6	Submit QMP	1 day	Tue 3/7/17	Tue 3/7/17	817
819	1.3.9.3.7	CLIENT RepCLIENTment PM review/comment	1 day	Wed 3/8/17	Wed 3/8/17	818
820	1.3.9.3.8	Finalize deliverable and submit	1 day	Thu 3/9/17	Thu 3/9/17	819

APPENDIX A - Sample IVV Schedule

ID	WBS	Task Name	Duration	Start	Finish	Predecessors
821	1.3.9.3.9	IV&V Deliverable MILESTONE: Approved QMP update	0 days	Thu 3/9/17	Thu 3/9/17	820
822	1.3.10	Work Breakdown Structure Updates / Rolling Waves	129 days	Mon 8/31/15	Thu 2/25/16	
823	1.3.10.1	WBS Update 01	4 days	Mon 2/22/16	Thu 2/25/16	
824	1.3.10.1.1	Analyze DDI Vendor Master Schedule	2 days	Mon 2/22/16	Tue 2/23/16	3SS+125 days
825	1.3.10.1.2	Recommend level of effort adjustments	1 day	Wed 2/24/16	Wed 2/24/16	824
826	1.3.10.1.3	Recommend resource adjustments	1 day	Thu 2/25/16	Thu 2/25/16	825
827	1.3.10.1.4	IV&V Deliverable MILESTONE: Completed WBS Update Coordination	0 days	Thu 2/25/16	Thu 2/25/16	826
828	1.3.10.2	WBS Update 02	4 days	Mon 8/31/15	Thu 9/3/15	
829	1.3.10.3	WBS Update 03	4 days	Mon 8/31/15	Thu 9/3/15	
830	1.3.11	Out-Of-Cycle Summary Reports (SRs)				
831	1.3.11.1	Continuously monitor CLIENT project for serious deficiencies or concerns				
832	1.3.11.2	Continuously monitor CLIENT project for critical / triggered risks				
833	1.3.11.3	Continuously monitor the CLIENT project triple constraint (cost, schedule quality)				
834	1.3.11.4	Draft SR				
835	1.3.11.5	Submit SR				
836	1.3.11.6	CLIENT PM Team review/comment				
837	1.3.11.7	Finalize SR and submit				
838	1.3.11.8	IV&V Deliverable MILESTONE: Approved SR				
839	1.3.12	CLIENT Assessment Reports (LARs)				
840	1.3.12.1	LAR-01				
841	1.3.12.1.1	CLIENT PM requests LAR				
842	1.3.12.1.2	Analyze Organizational Structure				841
843	1.3.12.1.3	Analyze Communication				841
844	1.3.12.1.4	Analyze Participation				841
845	1.3.12.1.5	Analyze Commitments				841
846	1.3.12.1.6	Analyze schedule task sequence and critical path				841
847	1.3.12.1.7	Analyze timelines and proactivity				841
848	1.3.12.1.8	Analyze project decision-making				841
849	1.3.12.1.9	Analyze project resources/staff skills				841
850	1.3.12.1.10	Analyze CLIENT milestones				841
851	1.3.12.1.11	Analyze project controls and problem resolutions				841
852	1.3.12.1.12	Summarize CLIENT strengths and weaknesses				851
853	1.3.12.1.13	Summarize DDI Vendor staff effectiveness				851
854	1.3.12.1.14	Summarize State staff effectiveness				851
855	1.3.12.1.15	Submit draft LAR #1				854
856	1.3.12.1.16	CLIENT PM Team review/comment				855
857	1.3.12.1.17	Finalize SR and submit				856
858	1.3.12.1.18	IV&V Deliverable MILESTONE: Approved LAR-01				857
859	1.3.12.2	LAR-02				
860	1.3.12.3	LAR-03				
861	1.3.13	Pilot Status Reports (PSRs)				
862	1.3.13.1	PSR-01				
863	1.3.13.1.1	Monitor Pilot Testing				
864	1.3.13.1.2	Monitor other Pilot activities				
865	1.3.13.1.3	Draft PSR-01				
866	1.3.13.1.4	Submit PSR-01				
867	1.3.13.1.5	CLIENT PM Team review/comment				

APPENDIX A - Sample IVV Schedule

ID	WBS	Task Name	Duration	Start	Finish	Predecessors
868	1.3.13.1.6	Finalize PSR-01 and submit				
869	1.3.13.1.7	IV&V Deliverable MILESTONE: Approved PSR-01				
870	1.3.13.2	PSR-02				
871	1.3.13.3	PSR-03				
872	1.3.13.4	PSR-04				
873	1.3.13.5	PSR-05				
874	1.3.13.6	PSR-06				
875	1.3.14	Prototype Assessment Recommendation (PrAR)				
876	1.3.14.1	Develop Go/No-Go Continuation Criteria				
877	1.3.14.2	Assess CLIENT Prototype				
878	1.3.14.3	Analyze Prototype for gaps against Criteria				
879	1.3.14.4	Write Go/No-Go Recommendation				
880	1.3.14.5	Submit PrAR to CLIENT PM Team				
881	1.3.14.6	CLIENT PM Team review/comment				
882	1.3.14.7	Finalize PrAR and submit				
883	1.3.14.8	IV&V Deliverable MILESTONE: Approved PrAR				
884	1.3.15	Pilot Assessment Report (PAR)	5 days	Mon 8/31/15	Fri 9/4/15	
885	1.3.15.1	Develop Go/No-Go Implementation Criteria (Statewide)	3 days	Mon 8/31/15	Wed 9/2/15	
886	1.3.15.2	Assess CLIENT Pilot	5 days	Mon 8/31/15	Fri 9/4/15	
887	1.3.15.3	Analyze CLIENT Pilot for gaps against Criteria	3 days	Mon 8/31/15	Wed 9/2/15	
888	1.3.15.4	Write Go/No-Go Recommendation	1 day	Mon 8/31/15	Mon 8/31/15	
889	1.3.15.5	Submit PAR to CLIENT PM Team	1 day	Mon 8/31/15	Mon 8/31/15	
890	1.3.15.6	CLIENT PM Team review/comment	2 days	Mon 8/31/15	Tue 9/1/15	
891	1.3.15.7	Finalize PAR and submit	1 day	Mon 8/31/15	Mon 8/31/15	
892	1.3.15.8	IV&V Deliverable MILESTONE: Approved PAR	0 days	Mon 8/31/15	Mon 8/31/15	
893	1.4	Project Closure	35 days	Mon 2/20/17	Fri 4/7/17	
894	1.4.1	Post-Implementation Report (PIR)	33 days	Mon 2/20/17	Wed 4/5/17	
895	1.4.1.1	Analyze CLIENT benefits and successes	10 days	Mon 2/20/17	Fri 3/3/17	
896	1.4.1.2	Develop recommendations for improvements	5 days	Mon 3/6/17	Fri 3/10/17	895
897	1.4.1.3	Draft the PIR	11 days	Mon 3/13/17	Mon 3/27/17	896
898	1.4.1.4	Submit PIR to CLIENT PM Team	1 day	Tue 3/28/17	Tue 3/28/17	897
899	1.4.1.5	CLIENT PM Team review/comment	5 days	Wed 3/29/17	Tue 4/4/17	898
900	1.4.1.6	Finalize PIR and submit	1 day	Wed 4/5/17	Wed 4/5/17	899
901	1.4.1.7	IV&V Deliverable MILESTONE: Approved PIR	0 days	Wed 4/5/17	Wed 4/5/17	900
902	1.4.2	Data Archive	7 days	Mon 2/20/17	Tue 2/28/17	
903	1.4.2.1	Gather IV&V project documentation	5 days	Mon 2/20/17	Fri 2/24/17	
904	1.4.2.2	Gather source codes	5 days	Mon 2/20/17	Fri 2/24/17	
905	1.4.2.3	Gather Deliverables and other project artifacts	5 days	Mon 2/20/17	Fri 2/24/17	
906	1.4.2.4	Submit archive to CLIENT PM	1 day	Mon 2/27/17	Mon 2/27/17	903,904,905
907	1.4.2.5	CLIENT PM acknowledge Receipt	1 day	Tue 2/28/17	Tue 2/28/17	906
908	1.4.2.6	IV&V Deliverable MILESTONE: Approved Archive	0 days	Tue 2/28/17	Tue 2/28/17	907
909	1.4.3	Post-Implementation Certification (PIC)	35 days	Mon 2/20/17	Fri 4/7/17	
910	1.4.3.1	Verify CLIENT satisfies policies and procedures	20 days	Mon 2/20/17	Fri 3/17/17	
911	1.4.3.2	Verify CLIENT satisfies reporting requirements	20 days	Mon 2/20/17	Fri 3/17/17	
912	1.4.3.3	Verify CLIENT is functioning as intended	20 days	Mon 2/20/17	Fri 3/17/17	
913	1.4.3.4	CLIENT Project Team received all Documentation	3 days	Mon 2/20/17	Wed 2/22/17	
914	1.4.3.5	Verify all Post-Implementation Defects/Issues Resolved	15 days	Mon 3/20/17	Fri 4/7/17	910,911,912
915	1.5	End CLIENT Project	0 days	Fri 4/7/17	Fri 4/7/17	914



4.2 APPENDIX B – SAMPLE FINDINGS AND ISSUES ASSESSMENTS

SAMPLE FINDINGS AND ISSUE ASSESSMENTS

Development Oversight – Testing

Finding Number: F-07-005

Finding Name: Regression Testing Deficits

Description: The planned scope and timing of regression testing does not conform to best practice and increases overall [redacted] Phase II project risk.

F-07-005(a). Scope of testing for [redacted] Phase II as depicted in Diagram A is expected to include only code that is expected to be “touched,” or code expected to change for Phase II. The diagram below depicts the proposed testing. Coding in the shaded circle is expected to be regression tested, not all other codes will be regression tested.

Proposed Regression Test Scope

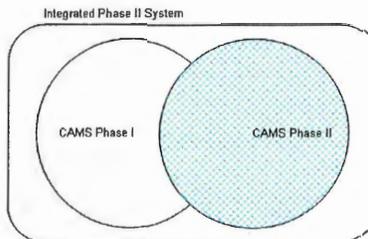


Diagram A: [redacted] Proposed Regression Test Scope

A more traditional definition of regression testing is depicted in Diagram B and includes **all** previously working software code in the integrated system, Phases II and I. This approach is based upon the possibility that regression errors may occur anywhere in the integrated system, when previously working software functionality is changed or no longer functions as originally designed.

Traditional Regression Test Scope

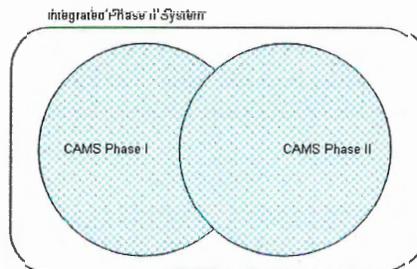


Diagram B: Traditional Regression Test Scope

The potential difference in scope between proposed and full regression testing appears

to exclude [PROJECT] Phase I software that [CLIENT] expects to be “untouched” in Phase II, but that will nevertheless be a part of the [PROJECT] Phase II integrated system.

F-07-005(b). Timing of testing according to Master Test Plan, 20091110 is to regression test during Acceptance Testing. Best Practice suggests regression testing be performed earlier in the project, during integration testing. Errors may be identified and corrected earlier in the life cycle if regression testing occurs during the integration testing window. Regression errors uncovered later present unnecessary risk to software quality, acceptance test success, and to the project schedule.

Risks:

1. Incomplete and inadequate regression testing
2. Regression errors in Phase I functionality.
3. Failed Acceptance Test
4. Project schedule slippage as Acceptance Testing is interrupted or delayed
5. Cost increase due to delayed Acceptance Test approval
6. Dissatisfied stakeholders

IV&V Recommendation

1. Align regression testing tasks and activities to include the testing of functionality throughout the entire integrated system.
2. Define the tasks and activities for regression testing taking place during integration and acceptance testing.

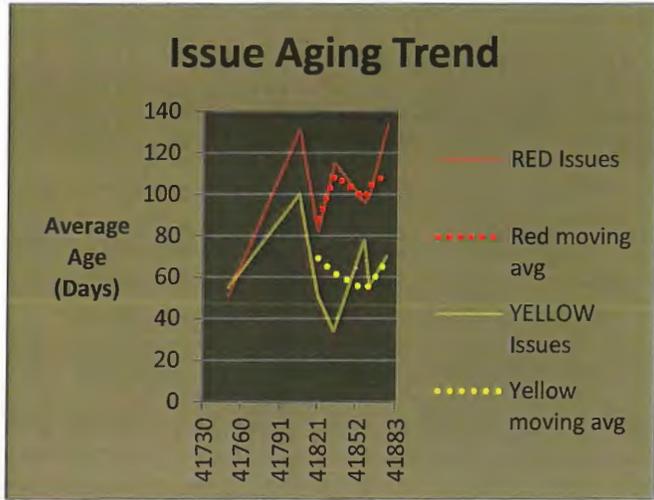
Oversight Task Number Reference(s)

QR 2.10.31, QR 2.10.51, QR 2.10.52

Reference(s) to Industry Standard

IEEE Recommended Practice for Software Requirements Specifications, IEEE 829 1998 Section 6.4; CAPABILITY MATURITY MODEL INTEGRATION FOR DEVELOPMENT (CMMI-DEV) v1.2, Validation (VAL) Specific Goal (SG) 1, pp. 497-499.

ACF Priority	Impact		Finding Origination
Urgent	Degree	High	31 Dec 2009
	Probability	High	Progress Indicator
	Time Criticality	Immediate	Progress Observed
Status Update	<p>F-07-005(a). Progress Observed. The Test Team has created a regression testing repository of test scripts included in the baselined version of the Acceptance Test Scripts v1.00, 20110124</p> <p>This sub-finding will be sufficiently remediated when the regression test suite is executed and documented, engaging the Phase I functionality.</p> <p>F-07-005(b). Closed. Regression testing was performed during Cycle-3 of Integration Testing in the form of End-To-End scenarios that included changed Phase I functionality.</p> <p><i>This sub-finding has been sufficiently remediated.</i></p>		

Finding Number	F-PM-MRR04-002																																			
Finding Name	Project Schedule Not Supported By Issue Resolution																																			
Description	<p>Project issues are late in being identified and/or delayed in their resolution; as a result they negatively impacted the project schedule. For example:</p> <ol style="list-style-type: none"> 1. Issue 34 – Requirements Tracking (priority RED) was identified 30 June 2014; however, requirements traceability had been deficient since JAD sessions were in progress months earlier. 2. Issue 27 – JAD Document Review and Approval (priority YELLOW) was said to impact the start of development; however, it was not set for resolution until 26 July, and was still listed as Active as of 7 August – well into not only Phase II development, but also <i>after</i> submission of both the Release 0 System Integration Test Report (23 July 2014) and the Release 1 Checkpoint 2 Functional Test Report (16 July 2014). <p>As of 25 August, the Issue Log contained five issues at RED priority. Among that group, none of the four oldest had met their Expected Resolution Dates (ERDs), and the newest did not have an ERD established.</p> <p>The chart below reflects the recent aging trend for YELLOW and RED issues.</p> <div data-bbox="646 1228 1300 1728" data-label="Figure">  <p>Issue Aging Trend</p> <table border="1"> <thead> <tr> <th>Date</th> <th>RED Issues (Average Age)</th> <th>Red moving avg</th> <th>YELLOW Issues (Average Age)</th> <th>Yellow moving avg</th> </tr> </thead> <tbody> <tr> <td>41730</td> <td>~55</td> <td>~55</td> <td>~55</td> <td>~55</td> </tr> <tr> <td>41760</td> <td>~75</td> <td>~75</td> <td>~75</td> <td>~75</td> </tr> <tr> <td>41791</td> <td>~130</td> <td>~130</td> <td>~100</td> <td>~100</td> </tr> <tr> <td>41821</td> <td>~85</td> <td>~85</td> <td>~40</td> <td>~40</td> </tr> <tr> <td>41852</td> <td>~110</td> <td>~110</td> <td>~55</td> <td>~55</td> </tr> <tr> <td>41883</td> <td>~105</td> <td>~105</td> <td>~65</td> <td>~65</td> </tr> </tbody> </table> </div>	Date	RED Issues (Average Age)	Red moving avg	YELLOW Issues (Average Age)	Yellow moving avg	41730	~55	~55	~55	~55	41760	~75	~75	~75	~75	41791	~130	~130	~100	~100	41821	~85	~85	~40	~40	41852	~110	~110	~55	~55	41883	~105	~105	~65	~65
Date	RED Issues (Average Age)	Red moving avg	YELLOW Issues (Average Age)	Yellow moving avg																																
41730	~55	~55	~55	~55																																
41760	~75	~75	~75	~75																																
41791	~130	~130	~100	~100																																
41821	~85	~85	~40	~40																																
41852	~110	~110	~55	~55																																
41883	~105	~105	~65	~65																																
Sources	<p>Issue Logs: April 2014 – August 2014. Project Schedules: April 2014 – August 2014. Weekly Status Reports: April 2014 – August 2014.</p>																																			

Risks	1. Increased risk of schedule delays.	
Recommendations	<ol style="list-style-type: none"> 1. Develop an action plan with specific resolution steps for each issue whose priority rating is YELLOW or RED. Currently, the Issue Log's Action Plan column contains chronological status, and in some cases, a next step of action. 2. Escalate issues far enough ahead of Expected Resolution dates to resolve them on or ahead of schedule. 3. In Weekly Status Reporting, Highlight high-priority issues that have missed their expected closure dates; the reason why the dates were missed; and the updated action plan to quickly resolve them. 4. Update the [REDACTED] Project Management Plan's Issue Management section to: <ol style="list-style-type: none"> a. Require issue action plans (YELLOW, RED issues). b. Provide guidance for establishing closure dates. 5. Specify procedures for issue escalation and guidance on required escalation timing. 6. Provide guidelines for the maximum allowable time to resolve issues, based on their Priority rating, once the issue is established on the Issue Log. 	
Oversight Task Numbers	PM-9.13	
Reference(s) to Industry Standard(s)	CMMI-DEV v1.3, Project Monitoring and Control Specific Goal 2. PMBOK Fifth Ed., Chapter 10 – Communications Management.	
Priority	HIGH	
Impact	Degree: Medium	Time Criticality: Immediate
	Probability: High	
Finding Origination	20140831	
Progress Indicator	CLOSED	DATE: 20141031
Status	<p>Issue management was largely implemented, and remaining gaps appeared to be on track for resolution.</p> <p>Although the average age of RED and PINK issues continued to increase, the number of such issues had been reduced to 1 RED and 2 PINK.</p> <p>IV&V will continue to monitor issue management to ensure remaining current, as well as future, issues are resolved timely.</p> <p>Recommendation:</p> <ol style="list-style-type: none"> 1. Quickly resolve the aging high-rated issues. 	

2. Update issue management procedures:
 - a. Assign dates and Owners to each Issue Action Plan step.
 - b. Track progress toward the actual resolution date using the progress on each action step.
 - c. Escalate future issues far enough ahead of Expected Resolution dates to resolve them on or ahead of schedule.
3. Continue to execute the improved procedures such that high-rated future issues are resolved in a timelier manner.

This finding has been sufficiently remediated.



4.3 APPENDIX C –

- Weekly Status Report Template
- Weekly Status Report Sample
- Monthly Status Report Template
- Monthly Status Report Sample

Kansas Department of Revenue (KDOR)



Independent Verification and Validation (IV&V)

KANDrive Project

Weekly IV&V Status Report [DATE]



1311 Fort Crook Rd South, Suite 100
Bellevue, NE 68005

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[NOTE TO AUTHOR: INSTRUCTIONS TO COMPLETE THE REPORT FROM THIS TEMPLATE ALL APPEAR IN-LINE IN BRACKETS, ALL CAPITALIZED LIKE THIS NOTE]

This is a controlled document. The control and release of this document is the responsibility of the document owner.

Version control			
Document reference	MSR-01 March 2016	Project	
Version		Date	Owner [IV&V PM NAME]
Document title	Weekly Status Report IV&V [PROJECT NAME]		
Version History			
Version	Date	Author	Comment
0.1			Draft for internal QA
0.2			Draft for State Review
1.0			Final for [CLIENT] Approval

[NOTE: THE VERSIONS ABOVE ARE THE MINIMUM REQUIRED FOR EACH SUBMISSION]

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- 3. Strengths, Risks, Issues.....6
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- APPENDIX B – CRITICAL INCIDENT REPORTS.....8

1. IV&V Activity This Reporting Period

Product Evaluations Completed		
Product / Deliverable Title / Description	Evaluation Date	Evaluation Type
		Product Inspection
		Formal Product Review

Interviews Completed		
Interviewee	Interview Date	Subject Area(s)

Meetings Attended		
Meeting Title	Meeting Date	IV&V Assessment & Recommendation

2. IV&V Activity Planned - Next Two Weeks

Product Evaluations		
Product Title / Description	Evaluation Date	Evaluation Type
		Product Inspection
		Formal Product Review

Interviews		
Interviewee	Interview Date	Subject Area(s)

Meetings	
Meeting Title or Purpose	Meeting Date

3. Strengths, Risks, Issues

This section presents the IV&V assessment of project strengths, risks, recommendations for improvement, and any updates based on information collected during [WEEK].

The IV&V Team notes the following commendable activity: [SEE SAMPLE IN STRENGTH TABLE]

Description of Strength	
✓	Project work is effectively organized in the Work breakdown Structure

IV&V notes the following risks and/or issues with changes [SEE SAMPLE IN TABLE BELOW]

Risk/Issue Number	Risk/Issue Description of Change	IV&V Recommendation
[FORMAT TO BE DETERMINED PER PROJECT]	IV&V has not identified a documented scheduling process for estimating project schedule activities; risk includes reduced confidence in current estimates.	<ol style="list-style-type: none"> 1. Document tools/techniques to estimate the schedule. 2. Regularly re-plan and adjust the schedule.

APPENDIX A – UPDATED IV&V SCHEDULE

APPENDIX B – CRITICAL INCIDENT REPORTS

Weekly IV&V Status Report-37
(Period of Report: 05 December – 11 December 2014)

NMHIX Independent Verification and Validation

New Mexico Health Insurance Exchange (NMHIX)



Software Engineering Services
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_____	_____
Signature	Date

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* New, Revision, Update, or Canceled

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EXECUTIVE SUMMARY

In response to the New Mexico Legislative Bills SB 221 and 589, the New Mexico Health Insurance Exchange (HIX) was created to provide qualified individuals and employers with increased access to health insurance in New Mexico.

The Exchange has contracted with GetInsured (GI) to develop a hybrid model first, and then a State based Exchange in 2015. The hybrid model will create the SHOP for small business and will use the Federal platform to enroll individuals until the Exchange system is ready to enroll consumers in 2015.

Along with the contracted vendors - GetInsured (GI) as a technology vendor, Public Consulting Group (PCG) as a project management vendor, and Deloitte as the HSD IT vendor working on NMHIX integration with Medicaid, the Exchange contracted with Software Engineering Services (SES) to provide Independent Verification and Validation (IV&V) services during the Design, Development and Implementation (DDI) of the NMHIX system with the purpose of assessing all project activities, tracking the status of implementation, and meeting all the other specified requirements for Exchanges under the Affordable Care Act by the scheduled time frame of October 1, 2015, revised.

1 IV&V Project summary

1.1 IV&V FINDING STATUS

This Weekly Review Report includes six (6) open findings, including two (2) findings that are pending closure. The open IV&V Findings and status to date from the observations of the NMHIX Project are presented in the remainder of this document. A complete rendering of all findings to date, open and closed, is presented in the Monthly Review Report.

The IV&V Team will track the progress of the NMHIX project in addressing these findings and provide a status update each week identifying progress or no progress.

Each finding, sub-finding and/or recommendation will be included in each Monthly Report with status updates as well as "closed" or "open" status. Findings will not be closed during weekly reporting; however, they may be assigned "pending close" status. Findings that contain multiple components will be closed when all components are fully addressed.

September Monthly Review Report-05 (MRR05) Findings	
Finding Number	F-RM-MRR05-001
Finding Name	Lack of Notices Traceability to Testing
Description	The RTM does not show requirements for Notices functionality, and therefore the notices lack traceability to UAT test scripts.
Priority	MEDIUM
Finding Origination	20140930

Progress Indicator	Current Week Progress	DATE: 20141204
Status	<p>GI produced the following revised document:</p> <ul style="list-style-type: none"> • Notice Approval Sheet 1.6, not dated (uploaded to ShareFile 20141210) which demonstrated traceability between notices and release <p>Triggering actions for R0/1 Notices have been added, however there is no evidence of traceability between R0/1 Notices and UAT test scripts. Through a search of ShareFile, no documents were found that demonstrates traceability between Notices and UAT test scripts.</p> <p>Recommendation:</p> <ol style="list-style-type: none"> 1. Provide clarification on how notices are being traced to UAT test scripts. <p><i>This finding can be remediated by Updating the RTM to explicitly show requirement(s) for Notices and their traceability to UAT test scripts.</i></p>	

Finding Number	F-RM-MRR05-002	
Finding Name	RTM Not Kept Up to Date	
Description	The RTM was not updated to reflect Release 0 changes such as deferrals requirements. It is unclear as to whether all requirements that were planned for R0 actually went into R0 or if they were deferred to a later release.	
Priority	MEDIUM	
Finding Origination	20140930	
Progress Indicator	Pending Close	DATE: 20141204
Status	<p>An updated version of the RTM, <i>NMHIX Individual RTM v2.6, 20141104</i> was uploaded to ShareFile. Final Verification (PCG) was updated to include test results for Release 0 and Release 1.</p> <p><i>This finding has been sufficiently remediated. It is anticipated that this finding will be closed in the upcoming Monthly Report.</i></p>	

October Monthly Review Report-06 (MRR06) Findings	
Finding Number	F-SD-MRR06-001
Finding Name	Insufficient Access to Code Development
Description	<p>Code development and the standards and process(es) currently in place for code development are not accessible to NMHIX. Coding for the GetInsured COTS product may be proprietary; conversely, NMHIX should have insight into the coding and management of coding performed for NMHIX specific functionality (esp. enhancements).</p> <p>The System Integrator (SI) vendor indicated that it follows the coding standards and guidelines using Sonar, an open source Platform used by development teams to manage source code quality. Managing source code quality provides critical visibility into the expectations for system maintenance, testing and overall quality.</p> <p>Sonar supports Jira integration and a web-reporting tool to display code quality dashboards on projects. These dashboards are not accessible to NMHIX, neither are they available on Sharefile.</p> <p>F-SD-MRR06-001(a). Embedded code design is not accessible. Without access to the code, NMHIX may not have an adequate understanding of the low-level design.</p> <p>F-SD-MRR06-001(b). Coding standards and guidelines compliance reports are not accessible to provide insight into code quality levels and the adherence to established standards.</p>
Priority	HIGH
Finding Origination	20141031
Progress Indicator	Pending Close DATE: 20141211
Status	<p>F-SD-MRR06-001(a). RESCINDED. This finding component is not applicable to the NMHIX. The Exchange does not intend to manage the software application at the code level. However, in the event that GetInsured is no longer contracted as the vendor to provide software as a service, NMHIX will be limited in its ability to maintain the code.</p> <p>Recommendation:</p> <ol style="list-style-type: none"> NMHIX should re-assess this contract language and reconcile it with its intentions for operations, and in supporting any transfer system intentions CMS might have. <i>Section 11. Intellectual Property - 1.1 Intellectual Property</i>

	<p><i>and Proprietary Information Ownership and 11.2 Developed IP of the GetInsured Final Executed Contract 20130517, NMHIX shall own the entire right and title and interest in and to all materials developed or acquired and all works of authorship and Intellectual Property developed by Contractor or its subcontractors, in whole or in part, specifically and solely for the benefit of NMHIX pursuant to the specific terms of a Change Order and shall exclude Contractor Software (the "Developed IP").</i></p> <p>F-SD-MRR06-001(b). GI produced the NMHIX – SonarQube Ghix Application 12-10-2014 dashboard from the Sonar tool that is being used to manage the quality of the code. Dashboards/compliance reports provide insight into code quality levels and the adherence to established standards. Managing source code quality provides critical visibility into the expectations for system maintenance, testing and overall quality.</p> <p>Recommendation:</p> <ol style="list-style-type: none"> 1. Provide NMHIX access to coding standards and guidelines dashboards/compliance reports regularly, upon request or at a minimum for each new release. <p><i>This finding has been sufficiently remediated. It is anticipated that this finding will be closed in the upcoming Monthly Report.</i></p>
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Finding Number	F-TR-MRR06-001
Finding Name	Inadequate Knowledge Transfer Approach
Description	There is no documented knowledge transfer approach with measurable criteria. Adequate planning for system transfer to the NMHIX to ensure NMHIX staff readiness for post Go-Live operations and maintenance is not evident. Knowledge Transfer (KT) activities/tasks can be a way for NMHIX staff to gain job-relevant knowledge and skills. By starting KT early in the project, it can support a smooth transition for sustaining business operations after the System Integrator leaves and it can reduce or mitigate project risk through joint ownership and accountability.
Priority	MEDIUM
Finding Origination	20141031
Progress Indicator	Current Week Progress DATE: 20141211
Status	IV&V did not observe a formal, documented approach for

NMHIX to transition the existing and new staff to receive the operational system nor was a plan provided with the detailed KT schedule and milestones for tracking the progress. The rebaselined project schedule v2.0 dated 20141211 did not appear to include activities associated with Knowledge Transfer.

November Monthly Review Report-07 (MRR07) Findings

Finding Number F-QA-MRR07-001

Finding Name Inadequate Resource Data in Master Project Schedule

Description The Rebaselined Draft Master Project Plan, v1.6 includes staff resource data with a number of errors. The draft schedule has been reviewed by the team and it is now in use for weekly project reporting. IV&V noted the following quality concerns in among the resource data.

1. Duplicate staff resource names
2. Use of first name only
3. Ambiguous resource names, esp. Fran\

CT	Resource Name	Comment
1	Abhinav Gupta	
2	Ahtesham Choudhary	
3	Akins VanHorne	
4	Amy Dowd	
5	Andrew Heaney	
6	Anita Schwing	
7	Archana Dekate	
8	ASPEN	
9	Atul Arora	
10	Barry Young	
11	Carrier	Duplicate?
12	Carriers	Duplicate?
13	Chad Kirkpatrick	
14	Chris	Duplicate?
15	Chris Knuckles	
16	Chris Stack	
17	Claudia Vargas	
18	CMS	Duplicate?
19	CMS / NMHIX	Duplicate?
20	CMS/CCIIO	Duplicate?

	21	CMS/FFM	Duplicate?
	22	Corey Gresham	
	23	Dan Morrison	
	24	Daniel Clarke	
	25	Doug Grapski	
	26	Fran\	Duplicate?
	27	Frances Palomar	Duplicate?
	28	Geno Astarita	
	29	GI	
	30	Greg High	
	31	Harsh Gupta	
	32	HSD	
	33	Hubert Lin	
	34	Imran Naqvi	
	35	IRS	
	36	Jamie Graser	
	37	Jan Pretti	Duplicate?
	38	Jan Pretti	Duplicate?
	39	Jeyakumar Palaniyappillai	
	40	Karen Galbreath	
	41	Karen Gardner	Duplicate?
	42	Karen Gardner?	Duplicate?
	43	Karen Hansen	Duplicate?
	44	Karen Hansen	Duplicate?
	45	Kathryn Woodbury	
	46	Kimberly Llamas	
	47	Linu Alex	
	48	Lisa Reid	Duplicate?
	49	Lisa Reid	Duplicate?
	50	Michae Dineen	Duplicate?
	51	Michael	Duplicate?
	52	Michael Dineen	Duplicate?
	53	Michael. Lisa	
	54	Michelle Scotti	
	55	Mike Nunez	
	56	Monica	Duplicate?
	57	Monica Griego	Duplicate?
	58	NHIX	Duplicate?
	59	Nir Sheep	
	60	Nitin Dandia	

	61	NM Business Owners	
	62	NMHIX	
	63	NMHIX to define CSR organization (roles & responsibilities)	Is this a resource?
	64	Noopur Bathija	
	65	Norma da Silva	
	66	OIG	
	67	Olly Lobo	
	68	OSI	
	69	PCG	
	70	Pratap Mahapatra	
	71	Priya Khemani	
	72	Raj Shethia	Duplicate?
	73	Raj Shethia	Duplicate?
	74	Raj Shethia Michelle Scotti	Duplicate?
	75	Rajesh Ramdas	
	76	Ranu Gokhroo	
	77	Sanjai Natesan	
	78	Scott Atole	
	79	Scott McMahon	
	80	Sean Pearson	
	81	Shilpa	Duplicate?
	82	Shilpa Patel	Duplicate?
	83	Shilpa Vadodaria	Duplicate?
	84	Srini Dhanam	Duplicate?
	85	Srini Dhanam	Duplicate?
	86	Srini Vejalla	Duplicate?
	87	Srini Vejalla	Duplicate?
	88	Steve Schimitz	
	89	Taruna Gautam	
	90	Testing Team	
91	Tony Curatola		
92	Vendor	What vendor is this?	
93	Victor Zele		
94	Vijay Bangera		
95	Vinayak Saokar		
96	Website Vendor		
97	Yolanda Miles		

Priority	LOW	
Finding Origination	20141130	
Progress Indicator	Current Week Progress	Date: 20141211
Status	The project team acknowledged the errors and has a plan in place to make corrections.	

Finding Number	F-PM-MRR07-001	
Finding Name	Unclear Project Reporting	
Description	<p>A Search of the Project Repository did not result in evidence of consistent project reporting.</p> <p>F-PM-MRR07(a). No Monthly PMO Project Status Report was located on Sharefile, although monthly reporting data was included in the Board Presentation, 20141121.</p> <ul style="list-style-type: none"> • Sub Task 4.2 of the PMO Scope of Work indicates that a monthly report is required; however, IV&V could not locate a Monthly Report on Sharefile. • Sub Task 1.7 requires an accurate inventory of all project documents be maintained in the project repository. <p>F-PM-MRR07(b). IV&V has not found recent Service Level Agreement reporting in the project repository from the System Integration vendor, though IV&V confirmed NMHIX receipt of those monthly reports.</p> <ul style="list-style-type: none"> • Section 5, Item 5.2 - Monthly Reports. Each month Contractor shall provide to NMHIX a set of softcopy or online reports to verify Contractor's performance and compliance with each Service Level. • Section 5, Item 5.3 - Timing. Contractor shall provide such reports on or before the tenth (10th) business day of the month following the end of each month for which Service performance is being measured and reported unless otherwise agreed. • Section 5, Item 5.6 - Average Service Level Reporting. Contractor shall prepare a quarterly and an annual Service Level report that shows the performance of all Services and calculates the average service level attained for each Service Level. 	
Priority	LOW	
Finding Origination	20141130	
Progress Indicator	Current Week Progress	Date: 20141211
Status	F-PM-MRR07(a). Pending Close. The PMO currently	

	<p>submits a monthly dashboard. All copies of the dashboard were uploaded to the Sharefile Repository for easy stakeholder access.</p> <p><i>This sub-finding has been sufficiently remediated. It is anticipated that this finding will be closed in the upcoming Monthly Report.</i></p> <p>F-PM-MRR07(b). Sharefile provided no evidence of recent monthly reporting; however, the Finding Log Workbook, 20141209, indicated that the Integrator was aware of the gap and would follow up.</p> <p>Recommendation:</p> <ol style="list-style-type: none">1. Ensure that Sharefile includes all project artifacts.
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1.2 WEEKLY ASSESSMENT

1. There are eight (8) IV&V oversight area ratings for this reporting period, three (3) with a rating of Low, one (1) with a rating of Medium and four (4) with no applicable rating.

During this reporting period, 05 December– 11 December, concerns were identified, recommendations provided, and other activities noted in the following process areas:

2. Project Management Oversight

- a) Open Findings exist.

Recommendation:

1. IV&V continues to recommend scheduling of additional level of effort/duration for Release 2 UAT activity. Re-analysis should factor in actual durations experienced thus far for analogous testing conducted in Release 1. The System and Acceptance Testing Oversight Checklist to the MRR07 IV&V Monthly Review Report, Question ST-7.24, contains additional detail to support the IV&V position.
2. IV&V continues to recommend that NMHIX conduct incremental scope validation in all future SI vendor and user testing activities. Scope validation is a best practice that mitigates overall project risk by reducing the extent of potential re-design, re-code, and re-test activity. Effective scope validation should include specific outcomes:
 - Any required change requests (current CCB process has been adequate).
 - Approved RTM that traces the scope being validated to the original requirements, design, etc. (RTM updates need to be accomplished for each checkpoint testing verification).

- Approved documentation including a final test report (for QA, SIT, and UAT, respectively) and any other project artifacts requiring updates.

3. Quality Management Oversight

- a) Open Findings exist.

4. Requirements Management Oversight

- a) Open Findings exist.
- b) Revised documents NMHIX Notice Approval Sheet 1.6 not dated (uploaded to ShareFile on 20141210) and NMHIX R2 Correspondence and Notification Document v1.2 20141210 were produced by GetInsured. The revised documents addressed the discrepancy between the two documents for Notices AP014 and PC001.
- c) There continues to be discrepancies between the NMHIX R2 Correspondence and Notification Document v1.2 included IP06, IP07 and the IP08 for Release 2 document. However, these were not included in NMHIX Notice Approval Sheet 1.6 not dated (uploaded to ShareFile 20141210)
- d) NMHIX Individual RTM V2.7, 20141125 was updated to address the version history issue.

5. Software Development Oversight

- a) Open Findings exist
- b) To address finding **F-SD-MRR06-001(b)**, GI provided the NMHIX – SonarQube Ghix Application 12-10-2014 dashboard from the Sonar tool that is being used to manage the quality of the code. The following details were extracted from the report:
 - Lines of Code – 267,365
 - Complexity – 47,504
 - Issues – 11,401
 - Blockers – 5
 - Critical – 75
 - Major – 6962
 - Minor – 4025
 - Info – 334
- c) GI reported that Sonar generates many false positives. SonarQube provides functionality for filtering false positives. It is unclear if the data above contains false positives or if they have been filtered out.

Recommendation:

1. Clarify the data extract from the report:
 - a. What percentage is false positives if false positives have not been filtered out.
 - b. What is being done to drive complexity down?
 - c. How are blockers, critical and major issues being addressed?

6. Operations Environment Oversight

- a) SHOP8 release was planned for 11 December 2014. It was a limited release and planned to include fixes for four (4) help desk tickets.

7. Training Oversight

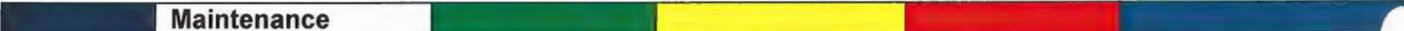
- a) Open Findings exist.
- b) Monthly webinars were planned to take place with the enrollment agents and brokers.

8. Operations & Maintenance Oversight

- a) Reports from Xerox were planned to be used to create modeling for implementation of next year's call center.
- b) For this week, an average of 140-150 calls were received each day.
- c) Responses from ten Carriers regarding the Carrier Agreement were received, the updated Agreement was planned to be sent out by 15 December 2014.
- d) Jim Clark has been added to NMHIX to focus on the Individual marketplace.

* Project areas assessed will depend on the deliverables that are available for review per the Master Project Schedule

		Risk Assessment Rating							
Rating			Low		Medium		High		Completed
Oversight Areas	Project Planning	L		M		H		C	
	Project Management	L		M		H		C	
	Quality Management	L		M		H		C	
		L		M		H		C	
	Application Security	L		M		H		C	
	Development Environment	L		M		H		C	
		L		M		H		C	
	Data Management	L		M		H		C	
	Operating Environment	L		M		H		C	
	System & Acceptance Testing Management	L		M		H		C	
		L		M		H		C	
	Operations and	L		M		H		C	


Maintenance

2 IV&V ACTIVITIES COMPLETED

The Table below is a list of IV&V activities completed during the week of 05 December – 11 December 2014.

#	Request For Information	Completed	Pending
1	GetInsured Sonar/Jira Compliance Report	20141209	
2	PCG Master Calendar, 20141118, 20141119		X
#	Product Evaluation	Completed	Pending
1	NMHIX Individual RTM V2.7, 20141126	20141208	
2	Email (NMHIX Draft Policy and Procedure), v1.3	20141209	
3	NMHIX R2 Correspondence and Notification Document v1.2 20141210; NMHIX Notice Approval Sheet 1.6 not dated (uploaded to ShareFile on 20141210)	20141210	
4	CCB Meeting Minutes	20141211	
5	NMHIX SonarQube Ghix Application 20141210	20141210	
#	Process Observations	Completed	Pending
1	NONE		
#	Meetings	Completed	Pending
1	SHOP8 Go-No-Go	20141205	
2	Weekly Touch point on NMHIX IV&V Report	20141208	
3	Change Control Board Review Meeting	20141208	
4	Single Portal Design Session	20141208	
5	NMHIX Project Status Meeting	20141210	
6	NMHIX Weekly Carrier & FM Meeting	20141210	
7	CMS/New Mexico Weekly Check-in	20141210	
8	NMHIX HSD Requirements Review	20141210	
9	Weekly Call Center Meeting	20141211	
10	Review Monthly Report	20141211	
#	Interviews	Completed	Pending
1	None		
2			

3 CMS DELIVERABLES AND MILESTONES

No Change

4 SUMMARY OF PROJECT BUDGET STATUS

NMHIX received the first set of responses from CMS on the grant submission. They appear on task for responding back to CMS.

5 PLANNED TASKS AND DELIVERABLES FOR NEXT REPORTING PERIOD

The Table below is a list of IV&V activities planned for the week of December 12-December 19, 2014.

Requests For Information		Planned
1	None	
#	Product Evaluations	Planned
1	Weekly Status Report	
#	Process Observations	Planned
1	None Planned	
#	Meetings	Planned
1	Daily Call Center Touch Base	Daily
2	Weekly Risk and Issue Review	Mondays
3	Weekly GetInsured Action Items Review	Mondays
4	Weekly Touch point on NMHIX IV&V Report	Mondays
5	Change Control Board Review Meeting	Mondays
6	NMHIX Help Desk Ticket Review	Tuesdays
7	Weekly Project Status Meeting	Wednesdays
8	Weekly Carrier & FM Meeting	Wednesdays
9	CMS/NMHIX Weekly Check-In	Wednesdays
10	Weekly Executive Dashboard KPI Weekly	Wednesdays
11	NMHIX Help Desk Ticket Review	Thursdays
12	Continued Reporting Discussion	Thursdays
13	NMHIX IVV: SBM/HIX Leadership Meeting	Thursdays
14	NMHIX IT Sub-Committee Meeting	Monthly
#	Interviews	Planned
1	None	
#	Deliverables	Planned
1	Weekly Status Report-38	20141219

APPENDIX A – IV&V OVERSIGHT AREAS

SES IV&V Oversight Checklists	
Planning Oversight	
<ul style="list-style-type: none"> • Procurement (1.1 - 5.4) 	<ul style="list-style-type: none"> • Feasibility Study (6.1 – 8.5)
Project Management Oversight	
<ul style="list-style-type: none"> • Project Sponsorship (1.1 – 2.6) • Management Assessment (3.1 – 5.16) • Project Management (6.1 – 9.15) • Business Process Engineering (10.1 – 11.20) • Risk Management (12.1 – 12.17) • Communications Management (13.1 – 13.13) • Configuration Management (14.1 – 14.21) 	<ul style="list-style-type: none"> • Project Estimating and Scheduling (15.1 – 16.10) • Project Personnel (17.1 – 17.12) • Project Organization (18.1 – 18.13) • Subcontractors and External Staff (19.1 – 20.5) • State Oversight (21.1 – 21.3) • Project Audit (22.1 -22.5)
Quality Oversight	
<ul style="list-style-type: none"> • Quality Assurance (1.1 – 3.5) 	<ul style="list-style-type: none"> • Process and Product Definition (4.1 – 4.2)
Requirements Management Oversight	
<ul style="list-style-type: none"> • Requirements Management (1.1 – 6.4) • Security Requirements (7.1 – 9.4) • Requirements Analysis (10.1 – 14.3) • Interface Requirements (15.1 – 17.2) • Requirements Allocation and Specification (18.1 – 18.25) 	<ul style="list-style-type: none"> • Reverse Engineering (19.1 – 19.4) • Requirements Testing (20.1 – 20.3) • Adherence to ACA Standards (21.1 – 21.6) • Adherence to CMS Standards (22.1 – 22.7)
Applications Security Oversight	
<ul style="list-style-type: none"> • Secure Coding- Input Validation (1.1 – 1.16) • Secure Coding- Output Encoding (2.1 – 2.6) 	<ul style="list-style-type: none"> • Secure Coding- Input Validation (3.1 – 3.3)
Development Environment Oversight	
<ul style="list-style-type: none"> • Development Hardware (1.1 – 3.1) 	<ul style="list-style-type: none"> • Development Software (4.1 – 8.3)
Software Development	
<ul style="list-style-type: none"> • High-Level Design (1.1 – 4.3) • Detailed Design (5.1 – 7.3) • Job Control (8.1 – 8.4) 	<ul style="list-style-type: none"> • Code (9.1 – 9.3) • Unit Test (10.1 – 10.3)
Data Management Oversight	
<ul style="list-style-type: none"> • Data Conversion (1.1 – 4.4) • Database Design (5.1 – 8.5) 	<ul style="list-style-type: none"> • Data Protection (9.1 – 9.4)
Operating Environment Oversight	
<ul style="list-style-type: none"> • System Hardware (1.1 – 4.3) • System Software (5.1 – 7.2) 	<ul style="list-style-type: none"> • Database Software – (8.1 – 9.6) • System Capacity (11.1 – 14.1)
System And Acceptance Testing Oversight	
<ul style="list-style-type: none"> • System Integration Test (1.1 – 5.4) • Interface Testing (6.1 – 6.6) 	<ul style="list-style-type: none"> • Acceptance and Turnover (7.1 – 7.30) • Implementation (8.1 – 8.5)
Training Oversight	
<ul style="list-style-type: none"> • User Training and Documentation (1.1 – 2.6) 	<ul style="list-style-type: none"> • Developer Training and Documentation (3.1 – 3.6)
Operations and Maintenance Oversight	
<ul style="list-style-type: none"> • Operational Change Tracking (1.1 – 2.5) • Customer & User Ops. Satisfaction (3.1 – 3.5) • Operational Goals (4.1 – 4.7) 	<ul style="list-style-type: none"> • Operational Documentation (5.1 – 5.4) • Operational Processes & Activities (6.1 – 6.9) • System Maintenance (7.1 – 7.8)

Kansas Department of Revenue (KDOR)



Independent Verification and Validation (IV&V)

KANDrive Project

Monthly Status Report [DATE]



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[NOTE TO AUTHOR: INSTRUCTIONS TO COMPLETE THE REPORT FROM THIS TEMPLATE ALL APPEAR IN-LINE IN BRACKETS, ALL CAPITALIZED LIKE THIS NOTE]

This is a controlled document. The control and release of this document is the responsibility of the document owner.

Version control			
Document reference	MSR-01 March 2016	Project	
Version		Date	Owner [IV&V PM NAME]
Document title	Monthly Status Report IV&V [PROJECT NAME]		
Version History			
Version	Date	Author	Comment
0.1			Draft for internal QA
0.2			Draft for State Review
1.0			Final for [CLIENT] Approval

[NOTE: THE VERSIONS ABOVE ARE THE MINIMUM REQUIRED FOR EACH SUBMISSION]

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1. Executive Summary

[SUMMARIZE THE PROJECT PURPOSE AND SCOPE]

[SUMMARIZE THE SES IV&V REPORT SCOPE AND METHOD]

KDOR is in the process of replacing its old mainframe systems responsible for driver licensing for the entire state. The vehicle system is one of KDOR's most critical public safety systems and must be available for law enforcement 24 hours a day, seven days a week, and 365 days a year. The system scheduled for replacement is the Kansas Driver's License System (KDLS).

Initial KANDrive focus is to operationalize the legacy mainframe system functionality into a web-based environment with a back-end relational database. A vision is that the technologies lift (.Net and DQL) will greatly enhance and improve business processes to issue licenses; manage driver records; improve usability; and allow for greater ease of data access for reporting.

Software Engineering Services is submitting this report under Task Proposal Request TPR00031 for Independent Verification and Validation for the KANDrive project. The scope of this Initial Review Report (IRR) covers oversight activities for the period 22-23 February 2016, based on our Kickoff visit also conducted 22-23 February 2016. The time period of data collection was therefore limited.

As presented, discussed and agreed to during the 21 February 2016 Kickoff Meeting, our first Site Visit and corresponding first Quarterly Review Report submission are both scheduled for May 2016.

The work conducted under this IV&V Task Proposal is built upon:

- Document reviews
- Interviews of project participants and stakeholders to clarify data in the oversight areas

1.1 Summary Project Assessment

The following table lists a summary of scored oversight areas during this reporting period.

[FILL IN COLORS AND WORDS PER EXAMPLES IN TABLE]

Assessed Area	IV&V Rating This Period	Project Team Rating This Period
Scope	YELLOW	GREEN
Schedule	GREEN	GREEN
Budget	RED	RED
Quality	GREEN	GREEN

[PROVIDE THE RATIONALE FOR EACH ASSESSED AREA WHERE THERE IS DISAGREEMENT BETWEEN IV&V AND PROJECT TEAM]

1.2 Findings Updates

A finding is defined as a weakness, deficiency, anomaly, or omission that requires corrective action.

[PRESENT A SUMMARY STATUS AND TREND OF FINDINGS FROM PREVIOUS REPORTING PERIODS]

Appendix C is a Findings Log that will summarize all findings through their closure.

1.3 Status of Previously Reported Findings

Beginning with IV&V Quarterly Review Report QR-01, the Appendix C findings table will detail findings from previous IV&V reports. Below we will include separate, detailed findings as identified in each Oversight Pool.

2. IV&V Method Summary

2.1 Methods of Review

The outcome goal of our IV&V methodology is to identify project strengths, risks and issues across the State's focus areas; and to make actionable recommendations for every identified risk. To that end, we analyzed each focus area to determine the application of effective practices that guide the data collection and analysis process.

The IV&V Team gathered data from interviews, and from the evaluation of project documentation. See Appendix B for a complete listing of those activities.

2.2 IV&V Scoring

The IV&V process assesses and scores each KS PMM focus area.

IV&V integrates all collected data into a systematic rating schema. We rate each Oversight Pool for which there is sufficient observational data according to the following guidelines:

Oversite Area Score	Characterization	IV&V Scoring Guidelines
GREEN	Good	<ul style="list-style-type: none"> ▪ Processes meet expected implementation standards. ▪ Processes are largely compliant with established standard(s). ▪ There is evidence that processes are largely used. ▪ The processes largely achieve desired results. ▪ There may be other practices to enhance effectiveness. ▪ There may be one or more Findings associated with this Oversight Area ▪ Any findings collectively do not present significant risk.
YELLOW	Marginal	<ul style="list-style-type: none"> ▪ Processes marginally meet expected implementation standards. ▪ Processes are partially compliant with established standard(s). ▪ There is evidence that the processes are only partially used. ▪ The processes do not achieve most desired results. ▪ There are other practices for effective implementation. ▪ There may be one or more findings associated with this Oversight Area. ▪ Any findings collectively present significant risk.
RED	Unsatisfactory	<ul style="list-style-type: none"> ▪ Processes do not meet expected implementation standards. ▪ Processes are not compliant with established standard(s). ▪ There is evidence that the processes are not used. ▪ The processes do not achieve desired results. ▪ There are other practices for effective implementation. ▪ Findings are associated with this Oversight Area. ▪ Findings collectively present critical risk.

Strengths, risks, findings and recommendations are then associated with each focus area as applicable; Section 3 below summarizes our assessments in the focus areas:

- Project Management
- User Involvement
- Project Organization and Staffing
- Technical/Technology
- Project Scope
- Project Oversight
- Business Impact
- Cost-Benefit
- Project Implementation
- Consistency Following State PMM

3. IV&V Activity This Reporting Period

Please see Appendix B for a complete accounting of IV&V meetings, product reviews, and interviews.

4. IV&V Activity Planned For Next Reporting Period

5. Product Evaluations		
Product Title / Description	Evaluation Date	Evaluation Type
		Product Inspection
		Formal Product Review

Interviews		
Interviewee	Interview Date	Subject Area(s)

Meetings	
Meeting Title or Purpose	Meeting Date

5. Assessments by Oversight Pool

This section presents the IV&V assessment of project strengths, risks, recommendations for improvement, and any findings based on information collected during [MONTH].

In future reports, findings that contain multiple components will be closed when all components are fully addressed. The IV&V Team assigns a priority to each finding based on an assessment of the degree and probability of impact, the likelihood of occurrence, and the time criticality of the finding's project impact. Please refer to Appendix A for our criteria.

5.1 Project Management Oversight Pool

The IV&V Team notes the following commendable activity: [SEE SAMPLE IN STRENGTH TABLE]

Description of Project Management Strength	
✓	Project work is effectively organized in the Work breakdown Structure

IV&V notes the following risks and/or issues independent of Finding(s): [SEE SAMPLE IN TABLE BELOW]

Risk/Issue Number	Risk/Issue Description	IV&V Recommendation
[FORMAT TO BE DETERMINED PER PROJECT]	IV&V has not identified a documented scheduling process for estimating project schedule activities; risk includes reduced confidence in current estimates.	<ol style="list-style-type: none"> 1. Document tools/techniques to estimate the schedule. 2. Regularly re-plan and adjust the schedule.

Finding Number:
Finding Name:
Description:
Risks:
1.
2.
Recommendation(s)
1.
2.
3.
Reference(s) to Industry Standard
[E.G. CMMI-DEV SPECIFIC PRACTICE; PMBOK KNOWLEDGE AREA, CMS XLT]

Priority	Impact		Finding Origination
High	Degree	[SEE APPENDIX A]	[DATE OF REPORT FINDING FIRST WAS REPORTED]
	Probability	[SEE APPENDIX A]	Progress Indicator
	Time Criticality	[SEE APPENDIX A]	
Status Update	[NEW, PROGRESS OBSERVED, NO PROGRESS OBSERVED, CLOSED]		

5.2 Medicaid, Eligibility, Enrollment, Enhanced Funding Oversight Pool

[CONTINUE THE SAME FORMAT AS IN 3.1 ABOVE]

5.3 Technical Architecture, Development and Test Oversight Pool

[CONTINUE THE SAME FORMAT AS IN 3.1 ABOVE]

5.4 Compliance and Certification Oversight Pool

[CONTINUE THE SAME FORMAT AS IN 3.1 ABOVE]

6. Work Product and Deliverable Assessments

The IV&V assessments of written work products including deliverables are separate documents at Appendix D.

APPENDIX A – FINDINGS PRIORITIZATION CRITERIA
FINDINGS PRIORITY MATRIX

Overall Priority	Degree of Project Impact	Probability of Project Impact	Time Criticality
URGENT	High	High	Immediate or Short Term
HIGH	High	High	Long Term
	High	Medium	Immediate or Short Term
	Medium	High	Immediate or Short Term
MEDIUM	High	Medium	Long Term
	High	Low	Immediate or Short Term or Long Term
	Medium	High	Long Term
	Medium	Medium	Immediate or Short Term or Long Term
	Medium	Low	Immediate
	Low	High	Immediate
LOW	Medium	Low	Short Term or Long Term
	Low	High	Short Term or Long Term
	Low	Medium	Immediate or Short Term or Long Term
	Low	Low	Immediate or Short Term or Long Term

DEFINITIONS

Degree of Project Impact

High	Significant negative impact to cost, schedule, product quality, stakeholder acceptance, and/or other factors in the project.
Medium	Moderate negative impact to cost, schedule, product quality, stakeholder acceptance, and/or other factors in the project.
Low	Minimal impact to cost, schedule, product quality, stakeholder acceptance, and/or other factors in the project.

Probability of Project Impact

High	Highly confident the negative impact will occur (>80% certainty).
Medium	Somewhat confident the negative impact will occur (>50% certainty).
Low	Uncertain if the negative impact will occur (<50% certainty).

Time Criticality

Immediate	Finding impacts the project now, or will impact the project or require resources within the next two months.
Short Term	Finding will impact the project within the next six months.
Long Term	Finding will impact the project beyond six months.

APPENDIX C - FINDING LOG

			STATUS		
Finding Number	Title	Date Opened	No Progress Observed	Progress Observed	Date Closed

APPENDIX D – DELIVERABLE AND WORK PRODUCT ASSESSMENTS

[USE ONE WORKSHEET / ACTION PLAN PER ASSESSMENT, USING THE WORKSHEET BELOW]

Work Product:		Evaluation Date/Time:	
Program/SDLC Phase:		Form #:	
IV&V Analyst(s):		Date Completed:	
Product Evaluation Approach: Identify potential questions to answer from checklists: [ABBREVIATIONS] Review the [NAME] artifact. Complete product evaluation worksheet.			
Product Evaluation Preparation Activities (including Checklist(s) used):			
1	Set up worksheet for evaluation.		
2	Review [ZZ] Oversight Checklist.		
Evaluation Summary:			
Product Evaluation Results/Observations/Findings/Recommendations:			
1	AOP: [ASSESSMENT OF PROCESS] AOE: [ASSESSMENT OF EFFECTIVENESS] Recommendation: 1.		
	AOP: AOE: Recommendation: 1.		
Relevant Documentation (references):			
1			

Action Plan	
Current State	
Desired State	
Action Strategy/Approach	
Action Manager	

Action Steps					
Action	Action Step Description	Assigned To	Starting	Due Date	Completed

#			Date		Date
1					
2					
3					
4					

APPENDIX E – CRITICAL INCIDENT REPORTS

APPENDIX F – WEEKLY STATUS REPORTS FROM THIS REPORTING PERIOD

APPENDIX G – REQUIREMENTS TRACEABILITY STATUS

APPENDIX H – IV&V SCHEDULE UPDATE

APPENDIX I - IV&V WORKSHEETS

IV&V Meeting Worksheet			
Project/ Team Affiliation:		Oversight & Task Area(s):	
Meeting Title:		Meeting Date/Time:	
Program/SDLC Phase:		Form #:	
IV&V Analyst(s):	Norman Mandy	Date Completed:	
Meeting Preparation Activities <i>(including Checklist(s) used):</i>			
1	Identified potential Oversight Area Checklist Task Areas:		
	Reviewed agenda description in the meeting invitation		
Meeting Summary:	Audio: Video: Facilitator: Attendees:		
Meeting Results/Observations/Findings & References:			
1			
2			
Relevant Documentation:			
1			
2			
Action Items			
	Owner	Due Date	Description
1			

NM HIX IV&V Interview Worksheet			
Interview Subject Area(s):		Interview Date/Time:	
Program/SDLC Phase:		Date Worksheet Completed:	
IV&V Analyst(s):		Form #:	
Interviewee:		Date of Interview Notification:	
Purpose/Reason for Interview:			
Interviewing Questions and Preparation Activities (including Checklist(s) used):			
1			
2			
Interview Results/Observations/Findings & References:			
1			
2			
Relevant Documentation:			
1			
2			
Action Items			
	Owner	Due Date	Description
1			

ADDENDUM A – STATE COMMENTS SHEET

[PROVIDE A COMMENTS SHEET TO RECEIVE CONSOLIDATED STATE COMMENTS]

FINAL
IV&V Monthly Review Report
(Period of Report: December 1 – December 31, 2014)

NMHIX Independent Verification and Validation

New Mexico Health Insurance Exchange (NMHIX)

FINAL Submission

January 16, 2014

Prepared by:



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APPENDIX B: Work Performed.....B-1

APPENDIX C: Findings Log.....C-1

APPENDIX D: Scope of Checklist Questions.....D-1

APPENDIX E: Acronyms.....E-1

Document Revision History

Version	Status	Date Submitted	Author	Description of Change
1.01	Draft	20150106	CG Thompkins	Draft Submission
1.0	Final	20150116	CG Thompkins	Final Submission Updated to FINAL Version 1.0 Page 2 – inserted “GREEN” into Table 1.1.1 Overall Project Health No Review Comments Received

1. Executive Summary

1.1 Overall Project Health

The overall project health (using Green, Yellow, Red color ratings) as of the data cutoff date, December 31, 2014, is shown below for the areas of Project Scope, Schedule, Cost, Staffing, and Quality. These areas, with the exception of Quality, correspond to the areas reported in the NMHIX IV&V Project Leadership Report. IV&V felt it important to include the area of Quality to those currently being reported as the Quality area has the potential to negatively impact the other areas.

Because of the complex nature of NMHIX, IV&V believes that – despite the additional year to reach the Phase II implementation milestone in 2015 – the project is at increased risk as result of the design changes mandated by CMS with no additional funding support. The current redesign work is underway with a high-level design documented; however, this work must be revisited to align the project scope, schedule and cost with the NMHIX vision for New Mexicans. The Exchange is fully aware and engaged in risk mitigation efforts.

Recommendations for improvement have been presented in each finding. Additional recommendations are presented in each process area in Section 3. Process areas assigned a rating of **GREEN** (*Meets expected implementation standards. Processes are largely compliant with established standard(s) as documented. With a few exceptions, there is evidence that they are consistently being used.*) this month include Staffing and Quality. These areas meet expected implementation standards. With a few exceptions, there is evidence that effective project standards are consistently being used.

Process areas assigned a rating of **YELLOW** (*Marginally meets expected implementation standards. Processes are only partially compliant with established standard(s) as documented.*) this month include Scope, Schedule and Cost. These marginal ratings are intended to raise awareness from the Project Team sufficient to affect improved changes and mitigation strategies.

The Project Team is encouraged to review the findings and recommendations for opportunities to make improvements.

Table 1.1.1 Overall Project Health

Quality Areas	NMHIX
Scope	YELLOW
Schedule	YELLOW
Cost	YELLOW

Staffing	GREEN
Quality	GREEN

1.2 Findings and Recommendations Updates

This section presents the status of findings. The findings are the result of the review and analysis of project documents; interviews with project personnel; and attendance at project meetings. A finding is defined as a weakness, deficiency, anomaly, or omission that requires corrective action.

Each finding has a reference number that includes the report identifier (e.g. F-01 for Findings in Month 1), followed by a sequential three-digit number for the finding. Each finding includes a finding name, a description of the finding, and a background when applicable. Other components of the findings are:

- Risks – possible risks created by the findings
- Recommendations – remedies to close the finding
- References to industry standards – applicable industry standards used in support of the finding
- Oversight Task Number Reference(s)
- Priority – ranking to identify whether a given finding in the report is Urgent, High, Medium, or of a Low priority
- Status Update – progress observed since the last report

1.2.1 Status of Previously Reported Findings

Table 1.2.1.1: Initial Review Report (IRR) Findings

Finding Origination Date – 04.30.2014				
Number/ Priority	Finding Title	No Progress Observed	Progress Observed	Finding Closed
No Open Findings				

Table 1.2.1.2: Monthly Review Report (MRR01) Findings

Finding Origination Date – 05.31.2014				
Number/ Priority	Finding Title	No Progress Observed	Progress Observed	Finding Closed
No Open Findings				

Table 1.2.1.3: Monthly Review Report (MRR02) Findings

Finding Origination Date – 06.30.2014				
Number/ Priority	Finding Title	No Progress Observed	Progress Observed	Finding Closed
No Open Findings				

Table 1.2.1.4: Monthly Review Report (MRR03) Findings

Finding Origination Date – 07.31.2014				
Number/ Priority	Finding Title	No Progress Observed	Progress Observed	Finding Closed
NONE PRESENTED				

Table 1.2.1.5: Monthly Review Report (MRR04) Findings

Finding Origination Date – 08.31.2014				
Number/ Priority	Finding Title	No Progress Observed	Progress Observed	Finding Closed
No Open Findings				

Table 1.2.1.6: Monthly Review Report (MRR05) Findings

Finding Origination Date – 09.30.2014				
Number/ Priority	Finding Title	No Progress Observed	Progress Observed	Finding Closed
F-RM-MRR05-001 MEDIUM	Lack of Notices Traceability to Testing	↙		
F-RM-MRR05-002 MEDIUM	RTM Not Kept Up to Date		Final Verification (PCG) was updated to include test results for Release 0 and Release 1.	↘

Table 1.2.1.7: Monthly Review Report (MRR06) Findings

Finding Origination Date – 10.31.2014				
----------------------------------------------	--	--	--	--

Number/ Priority	Finding Title	No Progress Observed	Progress Observed	Finding Closed
F-TR-MRR06-001 MEDIUM	Inadequate Knowledge Transfer Approach		A draft NMHIX SHOP Knowledge Transfer (KT) Plan was provided.	
F-SD-MRR06-001 HIGH	Insufficient Access to Code Development		GI produced the NMHIX – SonarQube Ghix Application 12-10-2014 dashboard from the Sonar tool that is being used to manage the quality of the code.	✓

Table 1.2.1.8: Monthly Review Report (MRR07) Findings

Finding Origination Date – 11.30.2014				
Number/ Priority	Finding Title	No Progress Observed	Progress Observed	Finding Closed
F-QA-MRR07-001 LOW	Inadequate Resource Data in Master Project Schedule		The PMO corrected quality errors in the Master Project Schedule.	✓
F-PM-MRR07-001 LOW	Unclear Project Reporting		Part (a) of this 2-part finding was sufficiently remediated. The Integrator reported their review of part (b) is underway.	

Table 1.2.1.9: Monthly Review Report (MRR08) Findings

Finding Origination Date – 12.31.2014				
Number/ Priority	Finding Title	No Progress Observed	Progress Observed	Finding Closed
F-SD-MRR08-001 HIGH	Inadequate Code Development Standards Reporting		NEW	

1.3 Rating of Task Items and Task Numbers

The following table lists the oversight activities evaluated during the December 2014 (MRR08) reporting period, December 1 – December 31, 2014. The scope of questions for which relevant information was gathered was uploaded into the checklists, evaluated and assessed for compliance with established best practices and standards. The primary focus of these activities is on the effectiveness of processes and procedures. Appendix D contains a detailed listing of the scope of checklist questions employed in each task numbered oversight area.

Table 1.3.1: Month-08 Oversight Activities

Task Number	Description	Rating of Task Item and Task Number
Planning Oversight		
Task Item: Procurement		
PO-1	Verify the procurement strategy supports State and Federal project objectives.	GREEN
PO-2	Review and make recommendations on the solicitation documents relative to their ability to adequately inform potential vendors about project objectives, requirements, risks, etc.	GREEN
PO-3	Review and make recommendations on the solicitation documents relative to their ability to adequately inform potential vendors about project objectives, requirements, risks, etc.	GREEN
PO-4	Verify that the obligations of the vendor, sub-contractors and external staff (terms, conditions, statement of work, requirements, technical standards, performance standards, development milestones, acceptance criteria, delivery dates, etc.) are clearly defined.	GREEN
PO-5	Verify the final contract for the vendor team states that the vendor will participate in the IV&V process, being cooperative for coordination and communication of information.	GREEN
PO-6	Perform ongoing assessment and review of NMHIX methodologies used for the feasibility study, verifying it was objective, reasonable, measurable, repeatable, consistent, accurate and verifiable. <i>Task Item 6: Not Applicable to NMHIX; HSD performed the Feasibility Study.</i>	Not Applicable
Task Item: Feasibility Study		
PO-7	Review and evaluate the NMHIX Planning, Level One and Level Two grants and the required federal PAPD(U)/IAPD(U) documents.	GREEN
PO-8	Review and evaluate the Cost Benefit Analysis to assess its reasonableness.	GREEN

Task Number	Description	Rating of Task Item and Task Number
Project Management		
Task Item: Project Sponsorship		
PM-1	Assess and recommend improvement, as needed, to assure continuous executive stakeholder buy-in, participation, support and commitment, and that open pathways of communication exist among all stakeholders.	GREEN
PM-2	Verify that executive sponsorship has bought-in to all changes that impact NM HIX project objectives, cost or schedule.	GREEN
Task Item: Management Assessment		
PM-3	Verify and assess NM HIX Project Management and organization; verify that lines of reporting and responsibility provide adequate technical and managerial oversight of the project.	YELLOW
PM-4	Evaluate NM HIX project progress, resources: budget, schedules, workflow, and reporting.	YELLOW
PM-5	Assess coordination, communication, and management to verify agencies and departments are working interdependently with one another and following the NM HIX communication plan.	GREEN
Task Item: Project Management		
PM-6	Verify that a NM HIX Project Management Plan is created and being followed. Evaluate the Project Management plans and procedures to verify that they are developed, communicated, implemented, monitored and complete.	GREEN
PM-7	Evaluate NM HIX project reporting plan and actual project reports to verify project status is accurately traced using project metrics.	GREEN
PM-8	Verify milestones and completion dates are planned, monitored, and met.	GREEN
PM-9	Verify the existence and institutionalization of an appropriate NM HIX project issue tracking mechanism that documents issues as they arise, enables communication of issues to proper stakeholders, documents a mitigation strategy as appropriate, and tracks the issue to closure.	YELLOW
Task Item: Business Process Engineering		
PM-10	Evaluate the project's ability and plans to redesign business systems to achieve improvements in critical areas of performance, such as cost, quality, service and speed.	GREEN
PM-11	Verify that a NM HIX Organizational Change Management Plan is created and being followed. Evaluate the change management plans and procedures to verify they are developed, communicated, implemented, monitored, and complete; and that resistance to change is anticipated and prepared for.	YELLOW

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Task Number	Description	Rating of Task Item and Task Number
Task Item: Risk Management		
PM-12	Verify that NM HIX Project Risk Management Plan is created and being followed. Evaluate the project's risk management plans and procedures to verify that risks are identified and quantified and that mitigation plans are developed, communicated, implemented, monitored, and complete.	GREEN
Task Item: Communication Management		
PM-13	Verify that a NM HIX Communication Plan is created and being followed. Evaluate the communication plans and strategies to verify they support communications and work product sharing between all project stakeholders; and assess if communication plans and strategies are effective, implemented, monitored, and complete.	GREEN
Task Item: Configuration Management		
PM-14	Verify that a Configuration Management Plan is created and being followed. Evaluate the configuration management plans and procedures to verify they are developed, communicated, implemented, monitored, and complete. Attend change control boards when appropriate.	GREEN
Task Item: Project Estimating and Scheduling		
PM-15	Evaluate compliance with the estimating and scheduling process of the NM HIX project to verify that the project budget and resources: are adequate for the work-breakdown structure and schedule, and make recommendations for conformity.	GREEN
PM-16	Review schedules to verify that adequate time and resources: are assigned for planning, development, review, testing, and rework.	YELLOW
Task Item: Project Personnel		
PM-17	Verify that detailed Project Staffing Plans are documented for state and contractors. Verify that the required skill sets and the clarity of the description of roles and responsibilities are appropriate. Verify that the proposed staffing levels and skill sets in the Project Staffing Plans are appropriate. Monitor ongoing changes in project staffing needs and actual staffing changes to verify that they are consistent with the staffing plans and the project needs	GREEN
Task Item: Project Organization		
PM-18	Verify that lines of reporting and responsibility provide adequate technical and managerial oversight of the project.	GREEN
Task Item: Subcontractors		
PM-19	Evaluate the use of sub-contractors or other external sources of project staff (such as IS staff from another State organization) in	YELLOW

Task Number	Description	Rating of Task Item and Task Number
	project development.	
PM-20	Verify that the contractor/subcontractor has and maintains the required skills, personnel, plans, resources, procedures and standards to meet their commitment.	YELLOW
Task Item: Exchange Oversight		
PM-21	Verify that NMHIX oversight is provided in the form of periodic status reviews and technical interchanges.	GREEN
Task Item: Project Audit		
PM-22	Verify that the Project has conducted an initial audit to establish a baseline that meets the state requirements.	GREEN
Quality Management		
Task Item: Quality Assurance		
QA-1	Evaluate and make recommendations on the project's Quality Assurance (QA) plans, procedures and organization.	GREEN
QA-2	Verify that Quality Assurance (QA) has an appropriate level of independence.	GREEN
QA-3	Verify that the QA function monitors the fidelity of all defined processes in all phases of the project.	GREEN
Task Item: Process Definition and Product Standards		
QA-4	Verify that all major development processes are defined and that the defined and approved processes and standards are followed in development.	GREEN
Requirements Management		
Task Item: Requirements Management		
RM-1	Evaluate and make recommendations on the NM HIX project's process and procedures for managing requirements.	YELLOW
RM-2	Verify that system requirements are well-defined, understood and documented.	YELLOW
RM-3	Evaluate the allocation of system requirements to hardware and software requirements.	GREEN
RM-4	Verify that NM HIX software requirements can be traced through design, code and test phases to verify that the system performs as intended and contains no unnecessary software elements.	YELLOW
RM-5	Verify that NM HIX requirements are under formal configuration control.	YELLOW
Task Item: Security Requirements		
RM-6	Evaluate and make recommendations on NM HIX project policies and procedures for ensuring that the system is secure and that the privacy of client data is maintained.	GREEN
RM-7	Evaluate the NM HIX project's restrictions on system and data access.	GREEN

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Task Number	Description	Rating of Task Item and Task Number
RM-8	Evaluate the NM HIX project's security and risk analysis.	GREEN
RM-9	Verify that processes and equipment are in place to back up client and project data and files and archive them safely at appropriate intervals.	GREEN
Task Item: Requirements Analysis		
RM-10	Verify that an analysis of NMHIX and federal needs and objectives has been performed to verify that requirements of the system are well understood, well defined, and satisfy federal regulations.	GREEN
RM-11	Verify that all stakeholders have been consulted to the desired functionality of the system, and that users have been involved in prototyping of the user interface.	GREEN
RM-12	Verify that all NM HIX stakeholders have bought in to all changes that impact project objectives, cost, or schedule.	GREEN
RM-13	Verify that NM HIX performance requirements (e.g. timing, response time and throughput) satisfy user needs.	GREEN
RM-14	Perform an exhaustive review of the NM HIX Requirements Traceability Matrix (RTM) at project outset, and periodically, to ensure that New Mexico, federal, and other requirements are being met and the RTM remains up to date.	GREEN
Task Item: Interface Requirements		
RM-15	Verify that all NM HIX system interfaces are exactly described, by medium and by function, including input/output control codes, data format, polarity, range, units, and frequency.	GREEN
RM-16	Verify the approved NM HIX interface documents are available and that appropriate relationships (such as interface working groups) are in place with all agencies and organizations supporting the interfaces.	GREEN
Task Item: Requirements Allocation and Specifications		
RM-17	Verify that all NM HIX system requirements have been allocated to either a software or hardware subsystem.	Not Evaluated Deleted: duplicate with 3.1,3.2
RM-18	Verify that requirements specifications have been developed for all hardware and software subsystems in a sufficient level of detail to ensure successful implementation.	GREEN
Task Item: Reverse Engineering		
RM-19	If a legacy system or a transfer system is or will be used in development, Verify that a well-defined plan and process for reengineering the system is in place and is followed. The process, depending on the goals of the reuse/transfer, may include reverse engineering, code translation, re-documentation, restructuring, normalization, and re-targeting.	Not Evaluated Task Item 19 is not applicable as no legacy system is used.
Task Item: Requirements Testing		

Task Number	Description	Rating of Task Item and Task Number
RM-20	Verify that the CMS mandated test scenario process is utilized by the State of New Mexico.	GREEN
Task Item: Adherence to ACA Standards		
RM-21	Verify that the fundamental intent of state exchanges as prescribed in the Affordable Care Act is addressed and adhered to within the NM HIX requirements.	GREEN
Task Item: Adherence to CMS Standards		
RM-22	Verify that the NM HIX requirements adhere to the Seven Conditions and Standards prescribed by Centers for Medicare & Medicaid Services (CMS) for enhanced funding.	GREEN
Application Security		
Task Item:		
AS-1	Verify Secure Coding for Input Validation is in place and that all data validation is conducted on a trusted system.	Not Evaluated
AS-2	Verify Secure Coding for Output Encoding is in place.	Not Evaluated
AS-3	Verify Secure Coding for Authentication and Password Management is in place.	GREEN
AS-4	Verify Secure Coding for Sessions Management is in place.	GREEN
AS-5	Verify Secure Coding for Access Control is in place.	Not Evaluated
AS-6	Verify Secure Coding for Cryptographic Practices is in place.	GREEN
AS-7	Verify Secure Coding for Error Handling and Logging is in place.	Not Evaluated
AS-8	Verify Secure Coding for Data Protection is in place.	GREEN
AS-9	Verify Secure Coding for Communication Security is in place.	Not Evaluated
AS-10	Verify Secure Coding for System Configuration is in place.	Not Evaluated
AS-11	Verify Secure Coding for Database Security is in place.	Not Evaluated
AS-12	Verify Secure Coding for File Management is in place.	Not Evaluated
AS-13	Verify Secure Coding for Memory Management is in place.	Not Evaluated
AS-14	Verify Secure Coding for General Coding Practices are in place.	Not Evaluated
AS-15	Verify Secure Coding for Architecture and Design Considerations for Secure Software Design- Code Flow – Division of code based on MVC is in place.	Not Evaluated
AS-16	Verify Design- Authentication and Authorization Access Control Mechanisms are in place	Not Evaluated
AS-17	Verify Design- Data Authentication and Access Control Mechanisms are in place	Not Evaluated
AS-18	Verify Design- Centralized Validation and Interceptors	Not Evaluated
AS-19	Verify Architecture- External Integrations	Not Evaluated
AS-20	Verify Configuration- External API's used	Not Evaluated
AS-21	Verify Configuration- Inbuilt Security Controls	Not Evaluated

Task Number	Description	Rating of Task Item and Task Number
AS-22	Verify HIPAA Privacy Rules	Not Evaluated
AS-23	Verify HIPAA SECURITY RULE - PHYSICAL SAFEGUARDS (R- Required, A- Addressable) Facility Access Controls: Implement policies and procedures to limit physical access to its electronic information systems and the facility or facilities in which they are housed, while ensuring that properly authorized access is allowed.	Not Evaluated
AS-24	Verify Workforce Security: Implement policies and procedures to ensure that all members of its workforce have appropriate access to EPHI, to prevent those workforce members who do not have access from obtaining access to electronic protected health information (EPHI).	Not Evaluated
AS-25	Verify Information Access Management: Implement policies and procedures for authorizing access to EPHI that are consistent with the applicable requirements.	Not Evaluated
AS-26	Verify Security Awareness and Training: Implement a security awareness and training program for all members of its workforce (including management).	Not Evaluated
AS-27	Verify Security Incident Procedures: Implement policies and procedures to address security incidents.	Not Evaluated
AS-28	Verify Contingency Plan: Establish (and implement as needed) policies and procedures for responding to an emergency or other occurrence (for example, fire, vandalism, system failure and natural disaster) that damages systems containing EPHI.	Not Evaluated
AS-29	Verify Business Associate Contracts and Other Arrangements: A Covered Entity (CE), in accordance with Sec. 164.306, may permit a business associate to create, receive, maintain or transmit EPHI on the covered entity's behalf only if the CE obtains satisfactory assurances, in accordance with Sec. 164.314(a) that the business associate appropriately safeguards the information.	Not Evaluated
AS-30	Verify the HITECH ACT- Application of security provisions and penalties to Business Associates of Covered Entities; Annual guidance on security provisions are in place.	Not Evaluated
Development Environment		
Task Item: Development Hardware		
DE-1	Evaluate new and existing development hardware configurations to determine if their performance is adequate to meet the needs of system development.	GREEN
DE-2	Determine if hardware is maintainable, easily upgradable, and	GREEN

Task Number	Description	Rating of Task Item and Task Number
	compatible with the State's existing development and processing environment. This evaluation will include, but is not limited to CPUs and other processors, memory, network connections and bandwidth, communication controllers, telecommunications systems (LAN/WAN), terminals, printers and storage devices.	
DE-3	Evaluate current and projected vendor support of the hardware, as well as the State's hardware configuration management plans and procedures.	Not Evaluated
Task Item: Development Software		
DE-4	Evaluate new and existing development software to determine if its capabilities are adequate to meet system development requirements.	Not Evaluated
DE-5	Determine if the software is maintainable, easily upgradeable, and compatible with the State's existing hardware and software development.	GREEN
DE-6	Evaluate the environment as a whole to see if it shows a degree of integration compatible with good development. This evaluation will include, but is not limited to, operation systems, network software, Case tools, project management software, configuration management software, compilers, cross-compilers, linkers, loaders, debuggers, editors, and reporting software.	Duplicate Task
DE-7	Language and compiler selection will be evaluated with regard to portability and reusability (ANSI standard language, non-standard extensions, etc.)	GREEN
DE-8	Current and projected vender support of the software will also be evaluated, as well as the State's software acquisition plans and procedures.	GREEN
Software Development		
Task Item: High-Level Design		
SD-1	Evaluate and make recommendations on existing high level design products to verify the design is workable, efficient, and satisfies all system and system interface requirements.	GREEN
SD-2	Evaluate the design products for adherence to the project design methodology and standards.	GREEN
SD-3	Verify that design requirements can be traced back to system requirements.	GREEN
SD-4	Verify that all design products are under configuration control and formally approved before detailed design begins.	GREEN
Task Item: Detailed Design		
SD-5	Verify that all design products are under configuration control and formally approved before detailed design begins.	YELLOW
SD-6	The design products will also be evaluated for adherence to the project design methodology and standards.	GREEN
SD-7	Verify that design requirements can be traced back to system requirements and high level design.	GREEN

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Task Number	Description	Rating of Task Item and Task Number
Task Item: Job Control		
SD-8	Perform an evaluation and make recommendations on existing job control and on the process for designing job control.	GREEN
Task Item: Code		
SD-9	Evaluate and make recommendations on the standards and process currently in place for code development.	YELLOW
Task Item: Unit Test		
SD-10	Evaluate the plans, requirements, environment, tools, and procedures used for unit testing system modules.	GREEN
Data Management		
Task Item: Data Conversion		
DM-1	Evaluate the State's existing and proposed plans, procedures and software for data conversion.	GREEN
DM-2	Verify that procedures are in place and are being followed to review the completed data for completeness and accuracy and to perform data clean-up as required.	GREEN
DM-3	Verify that procedures are in place and are being followed to review the completed data for completeness and accuracy and to perform data clean-up as required.	GREEN
DM-4	Make recommendations on making the conversion process more efficient and on maintaining the integrity of data during the conversion.	Not Evaluated
Task Item: Database Design		
DM-5	Evaluate new and existing database designs to determine if they meet existing and proposed system requirements.	GREEN
DM-6	Recommend improvements to existing designs to improve data integrity and system performance.	GREEN
DM-7	Recommend improvements to existing designs to improve data integrity and system performance.	GREEN
DM-8	Recommend improvements to existing designs to improve data integrity and system performance.	GREEN
Task Item: Data Protection		
DM-9	Evaluate the protection of data, especially personally identifiable information (PII), regardless of where it is located in the project	GREEN
Operating Environment		
Task Item: System Hardware		
OE-1	Evaluate new existing system hardware configurations to determine if their performance is adequate to meet existing and proposed system requirements.	GREEN
OE-2	Determine if hardware is compatible with the State's existing processing environment, if it is maintainable, and if it is easily upgradeable. This evaluation will include, but is not limited to CPUs and other processors, memory, network connections and bandwidth,	GREEN

Task Number	Description	Rating of Task Item and Task Number
	communication controllers, telecommunications systems (LAN/WAN), terminals, printers and storage devices.	
OE-3	Evaluate current and projected vendor support of the hardware, as well as the State's hardware configuration management plans and procedures.	GREEN
OE-4	Evaluate management and oversight of the inventory of hardware, warranties, or hardware maintenance agreements.	GREEN
Task Item: System Software		
OE-5	Evaluate new and existing system software to determine if its capabilities are adequate to meet existing and proposed system requirements. This includes evaluation of COTS software products that are part of the HIX solution.	GREEN
OE-6	Determine if the software is compatible with the State's existing hardware and software environment, if it is maintainable, and if it is easily upgradeable. This evaluation will include, but is not limited to, operating systems, middleware, and network software including communications and file-sharing protocols. This includes evaluation of COTS software products that are part of the HIX solution.	GREEN
OE-7	Current and projected vendor support of the software will also be evaluated, as well as the States software acquisition plans and procedures. This includes evaluation of COTS and SaaS products that are part of the HIX solution.	Not Evaluated
Task Item: Database Software		
OE-8	Evaluate new and existing database products to determine adequate capabilities to meet existing and proposed system requirements.	YELLOW
OE-9	Evaluate current and projected vendor support to the software, as well as to the State's software acquisition plans and procedures.	GREEN
Task Item: System Capacity		
OE-10	Evaluate management and oversight of software licenses.	Not Evaluated
OE-11	Evaluate the existing processing capacity of the system and verify that it is adequate for current statewide needs for both batch and on-line processing.	GREEN
OE-12	Evaluate the historic availability and reliability of the system including the frequency and criticality of system failure.	GREEN
OE-13	Evaluate the results of any volume testing or stress testing.	Not Evaluated
OE-14	Make recommendations on changes in processing hardware, storage, network systems, operating systems, COTS software, and software design to meet future growth and improve system performance.	GREEN
System and Acceptance Testing		
Task Item: System Integration Test		
ST-1	Evaluate the plans, requirements, environments, tools and procedures used for integration testing of system modules.	GREEN
ST-2	Evaluate the level of automation and availability of the system test	GREEN

Task Number	Description	Rating of Task Item and Task Number
	environment.	
ST-3	Verify that appropriate level of test coverage is achieved by the test process, that test results are verified, that the correct code configuration has been tested, and that the tests are appropriately documented, including formal logging of errors found in testing.	GREEN
ST-4	Verify that test organization has an appropriate level of independence from the development organization.	GREEN
ST-5	Verify that test scripts are complete, with step by step procedures, required pre-existing events or triggers, and expected results.	GREEN
Task Item: Interface Testing		
ST-6	Evaluate interface testing plans and procedures for compliance with industry standards.	GREEN
Task Item: Acceptance and Turnover		
ST-7	Acceptance procedures and acceptance criteria for each product must be defined, reviewed, and approved prior to test and the results of the test must be documented. Acceptance procedures must also address the process by which any software product that does not pass acceptance testing will be corrected.	GREEN
Task Item: Implementation		
ST-8	Review and evaluate implementation plan	GREEN
Training		
Task Item: User Training and Documentation		
TR-1	Review and make recommendations on the training provided to system users. Verify sufficient knowledge transfer for maintenance and operation of the new system.	YELLOW
TR-2	Verify that training for users is instructor-led and hands-on and is directly related to the business process and required job skills.	GREEN
Task Item: Developer Training and Documentation		
TR-3	Review and make recommendations on the training provided to system developers.	YELLOW
Operations and Maintenance		
Task Item: Operational Change Tracking		
OM-1	Evaluate statewide system's change request and defect tracking processes.	GREEN
OM-2	Evaluate implementation of the process activities and request volumes to determine if processes are effective and are being followed.	GREEN
Task Item: Customer and User Operational Satisfaction		
OM-3	Evaluate user satisfaction with system to determine areas for improvement	GREEN
Task Item: Operational Goals		
OM-4	Evaluate impact of system on program goals and performance standards.	GREEN

Task Number	Description	Rating of Task Item and Task Number
Task Item: Operational Documentation		
OM-5	Evaluate operational plans and processes.	GREEN
Task Item: Operational Processes and Activities		
OM-6	Evaluate implementation of the process activities including backup, disaster recovery and day-to-day operations to verify the processes are being followed.	GREEN
Task Item: Systems Maintenance		
OM-7	Evaluate the State's existing and proposed plans, procedures and software for systems maintenance	GREEN

The objective of this report is to provide a point in time snapshot of the NMHIX IV&V Project, identifying new findings, and updating findings identified in previous reports. The point in time snapshot is a result of the analysis of project artifacts and activities observed from 1 December through 31 December 2014.

2. Methods of Review

The IV&V methodology is primarily focused on identifying findings, weaknesses, and/or problems that need to be corrected or that do not adhere to industry best practices. However, the project is also doing some things well and these major strengths or proactive activities are identified in the report. The IV&V Team analyzed each oversight area to determine the application of best practices and to guide the data gathering process. The IV&V Team gathered data from interviews with various project stakeholders, attendance at meetings, and evaluations of project documentation. See Appendix B for a complete listing of these activities.

Our examination is based on both requirements of the contract and industry best practices, including but not limited to the following:

- Project Management Body of Knowledge (PMBOK), Fifth Edition
- Capability Maturity Model Integration for Development (CMMI-DEV), Version 1.3
- Institute for Electrical and Electronic Engineers (IEEE) 730 2002 QSAP
- IEEE 830-1998
- IEEE 1016-2009
- IEEE 1058-1998
- IEEE 1074-2006
- IEEE 12207.0-1996
- IEEE 12207.1-1997
- IEEE 12207.2-1997

- IEEE 828-2012
- IEEE 829 1998
- IEEE 1008-1987
- IEEE 1012-2012
- IEEE 1063-2001

There may be instances where NMHIX IV&V contractual requirements are met, but the project could nevertheless benefit from the implementation of additional best practices from the above standards. IV&V will specify additional best practices in our findings and observations as needed.

2.1 IV&V Scoring

The IV&V process rates Task Numbers in twelve oversight areas.

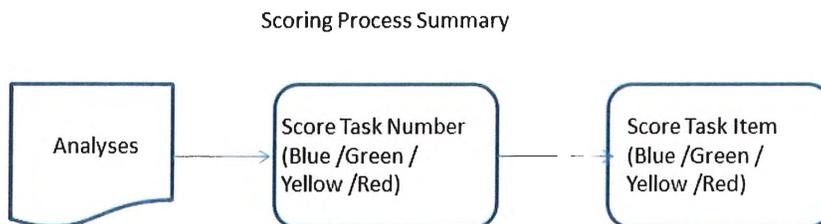
All data collected will be integrated into a systematic rating schema. First, each Task Number for which there is sufficient observational data will be rated according to the criteria below.

- *Red* – Unsatisfactory. Processes are not compliant with established standard(s) as documented. There is evidence that the processes are not being used or followed. The processes do not achieve desired results, and there are other best practice standards required in order to effect implementation. There is one or more Findings or Recommendations associated with this process.
- *Yellow* – Marginal. Marginally meets expected implementation standards. Processes are only partially compliant with established standard(s) as documented. There is evidence that the processes are not consistently being used or followed. The processes do not achieve most desired results, and there are other best practice standards required in order to make implementation effective. There is one or more Findings or Recommendations associated with this process.
- *Green* – Good. Meets expected implementation standards. Processes are largely compliant with established standard(s) as documented. With a few exceptions, there is evidence that they are consistently being used. The processes achieve desired results; however, there could be other best practice standards that may enhance effectiveness. These are recommended for consideration. There may be one or more Findings or Recommendations associated with this process.
- *Blue* – Outstanding. Exceeds expected implementation standards. Processes are fully compliant with established standard(s) as documented. There is evidence that they are consistently being used. The processes effectively achieve desired results, and no other best practice standards are recommended. There are no Findings associated with this process.

Some Task Items are comprised of more than one Task Number. The IV&V Team will provide a Task Item aggregate rating based upon those Task Number ratings. A Task Item is rated:

- *Blue* when all its Task Number ratings are Blue
- *Green* when all its Task Number ratings are either Blue or Green
- *Yellow* when there is at least one Task Number rated Yellow and there are no Task Numbers with a Red rating
- *Red* when there is at least one Task Number rated Red

The process flow below summarizes the scoring methodology employed.



All findings or recommendations identified are then associated with the twelve (12) IV&V Oversight Areas as the project life cycle demands. Finally, overall project health ratings are determined for **Scope, Schedule, Cost, Staffing, and Quality** based on ratings and findings associated with each of those broad categories. These overall project health ratings are provided in Section 1.1 above.

3. Assessment Findings by Oversight Area

The IV&V Findings, Risks, Recommendations, and assigned Priorities from the observations of the NMHIX IV&V project are presented in the remainder of this document. The IV&V Team will track the progress of the NMHIX IV&V project in addressing these findings and provide a status update at the end of each Monthly Review. Each finding, sub-finding, and/or recommendation from the Monthly Review Report is listed with its appropriate update.

Findings that contain multiple components will be closed when all components are fully addressed.

The IV&V Team assigned a priority to each finding based on an assessment of the degree and probability of impact, the likelihood of occurrence, and the time criticality of the finding in affecting the project. The prioritization criteria are defined in Appendix A,

This section includes newly opened findings during this reporting period. As Findings closed in previous reporting periods, they will be tracked in the IV&V Finding Log, Appendix C. In addition to findings with their associated recommendations, the IV&V Team has also identified project strengths and observations associated with the project to identify area where the project is performing well and has taken positive, proactive action worthy of noting.

3.1 Project Planning

No findings presented during this period.

3.2 Project Management

Recommendations:

1. IV&V continues to recommend scheduling of additional level of effort/duration for Release 2 UAT activity. IV&V analysis has demonstrated past shortfalls in multi-cycle UAT duration. The most recent updates to the rebaselined Master Project Schedule have not been adjusted to reflect those schedule shortfalls for Release 2. Re-analysis should factor in actual durations experienced thus far for analogous testing conducted in Release 1.
2. IV&V continues to recommend that NMHIX conduct incremental scope validation in all future SI vendor and user testing activities. Scope validation is a best practice that mitigates overall project risk by reducing the extent of potential re-design, re-code, and re-test activity. Effective scope validation should include specific outcomes:

- a) Any required change requests and associated artifact updates, such as updated and approved JAD design documents.
- b) Approved RTM that traces the scope being validated to the original requirements, design, etc.
- c) Approved final test reports (QA, SIT, and UAT, respectively).

Please see Section 4 below for IV&V reporting of project issues, risks, and change requests.

Finding Number	F-PM-MRR07-001
Finding Name	Unclear Project Reporting
Description	<p>A Search of the Project Repository did not result in evidence of consistent project reporting.</p> <p>F-PM-MRR07(a). No Monthly PMO Project Status Report was located on Sharefile, although monthly reporting data was included in the Board Presentation, 20141121.</p> <ul style="list-style-type: none"> • Sub Task 4.2 of the PMO Scope of Work indicates that a monthly report is required; however, IV&V could not locate a Monthly Report on Sharefile. • Sub Task 1.7 requires an accurate inventory of all project documents be maintained in the project repository. <p>F-PM-MRR07(b). IV&V has not found recent Service Level Agreement reporting in the project repository from the System Integration vendor, though IV&V confirmed receipt of those monthly reports.</p> <ul style="list-style-type: none"> • Section 5, Item 5.2 - Monthly Reports. Each month Contractor shall provide to NMHIX a set of softcopy or online reports to verify Contractor's performance and compliance with each Service Level. • Section 5, Item 5.3 - Timing. Contractor shall provide such reports on or before the tenth (10th) business day of the month following the end of each month for which Service performance is being measured and reported unless otherwise agreed. • Section 5, Item 5.6 - Average Service Level Reporting. Contractor shall prepare a quarterly and an annual Service Level report that shows the performance of all Services and calculates the average service level attained for each Service Level.
Sources	Sharefile Search

	PCG Executed Contract GetInsured Executed Contract	
Risks	1. Inability to communication project health to stakeholders	
Recommendations	1. Upload ALL project artifacts to the Sharefile Repository	
Oversight Task Numbers	PM 3.8, PM 4.1	
Reference(s) to Industry Standard(s)	CMMI Development, (CMMI-DEV, V1.3). Project Management Institute, A Guide to the Project Management Body of Knowledge, Edition 5, 2013	
Priority	LOW	
Finding Origination	20141130	
Progress Indicator	Progress Observed	DATE: 20141231
Status	<p>F-PM-MRR07-001(a). CLOSED. The PMO currently submits a monthly dashboard. All copies of the dashboard were uploaded to the Sharefile Repository for easy stakeholder access. <i>This sub-finding has been sufficiently remediated.</i></p> <p>F-PM-MRR07-001(b). No Progress Observed. The SI vendor informed of internal discussion on reviewing the finding; however, no progress to resolve the finding was evident.</p>	

3.3 Quality Oversight

Finding Number	F-QA-MRR07-001																																																																															
Finding Name	Inadequate Resource Data in Master Project Schedule																																																																															
Description	<p>The Rebaselined Draft Master Project Plan, v1.6 includes staff resource data with a number of errors. Total staff listed is 78. The draft schedule has been reviewed by the team and it is now in use for weekly project reporting. IV&V noted the following quality concerns in among the resource data.</p> <ol style="list-style-type: none"> 1. Duplicate staff resource names 2. Use of first name only 3. Ambiguous resource names, esp. Fran\ 																																																																															
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 5%;">CT</th> <th style="width: 70%;">Resource Name</th> <th style="width: 25%;">Comment</th> </tr> </thead> <tbody> <tr><td>1</td><td>Abhinav Gupta</td><td></td></tr> <tr><td>2</td><td>Ahtesham Choudhary</td><td></td></tr> <tr><td>3</td><td>Akins VanHorne</td><td></td></tr> <tr><td>4</td><td>Amy Dowd</td><td></td></tr> <tr><td>5</td><td>Andrew Heaney</td><td></td></tr> <tr><td>6</td><td>Anita Schwing</td><td></td></tr> <tr><td>7</td><td>Archana Dekate</td><td></td></tr> <tr><td>8</td><td>ASPEN</td><td></td></tr> <tr><td>9</td><td>Atul Arora</td><td></td></tr> <tr><td>10</td><td>Barry Young</td><td></td></tr> <tr><td>11</td><td>Carrier</td><td>Duplicate?</td></tr> <tr><td>12</td><td>Carriers</td><td>Duplicate?</td></tr> <tr><td>13</td><td>Chad Kirkpatrick</td><td></td></tr> <tr><td>14</td><td>Chris</td><td>Duplicate?</td></tr> <tr><td>15</td><td>Chris Knuckles</td><td></td></tr> <tr><td>16</td><td>Chris Stack</td><td></td></tr> <tr><td>17</td><td>Claudia Vargas</td><td></td></tr> <tr><td>18</td><td>CMS</td><td>Duplicate?</td></tr> <tr><td>19</td><td>CMS / NMHIX</td><td>Duplicate?</td></tr> <tr><td>20</td><td>CMS/CCIIO</td><td>Duplicate?</td></tr> <tr><td>21</td><td>CMS/FFM</td><td>Duplicate?</td></tr> <tr><td>22</td><td>Corey Gresham</td><td></td></tr> <tr><td>23</td><td>Dan Morrison</td><td></td></tr> <tr><td>24</td><td>Daniel Clarke</td><td></td></tr> <tr><td>25</td><td>Doug Grapski</td><td></td></tr> </tbody> </table>		CT	Resource Name	Comment	1	Abhinav Gupta		2	Ahtesham Choudhary		3	Akins VanHorne		4	Amy Dowd		5	Andrew Heaney		6	Anita Schwing		7	Archana Dekate		8	ASPEN		9	Atul Arora		10	Barry Young		11	Carrier	Duplicate?	12	Carriers	Duplicate?	13	Chad Kirkpatrick		14	Chris	Duplicate?	15	Chris Knuckles		16	Chris Stack		17	Claudia Vargas		18	CMS	Duplicate?	19	CMS / NMHIX	Duplicate?	20	CMS/CCIIO	Duplicate?	21	CMS/FFM	Duplicate?	22	Corey Gresham		23	Dan Morrison		24	Daniel Clarke		25	Doug Grapski	
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26	Fran\	Duplicate?
27	Frances Palomar	Duplicate?
28	Geno Astarita	
29	GI	
30	Greg High	
31	Harsh Gupta	
32	HSD	
33	Hubert Lin	
34	Imran Naqvi	
35	IRS	
36	Jamie Graser	
37	Jan Pretti	Duplicate?
38	Jan Pretti	Duplicate?
39	Jeyakumar Palaniyappillai	
40	Karen Galbreath	
41	Karen Gardner	Duplicate?
42	Karen Gardner?	Duplicate?
43	Karen Hansen	Duplicate?
44	Karen Hansen	Duplicate?
45	Kathryn Woodbury	
46	Kimberly Llamas	
47	Linu Alex	
48	Lisa Reid	Duplicate?
49	Lisa Reid	Duplicate?
50	Michae Dineen	Duplicate?
51	Michael	Duplicate?
52	Michael Dineen	Duplicate?
53	Michael. Lisa	
54	Michelle Scotti	
55	Mike Nunez	
56	Monica	Duplicate?
57	Monica Griego	Duplicate?
58	NHIX	Duplicate?
59	Nir Sheep	
60	Nitin Dandia	
61	NM Business Owners	
62	NMHIX	
63	NMHIX to define CSR organization (roles & responsibilities)	Is this a resource?
64	Noopur Bathija	

	65	Norma da Silva	
	66	OIG	
	67	Olly Lobo	
	68	OSI	
	69	PCG	
	70	Pratap Mahapatra	
	71	Priya Khemani	
	72	Raj Shethia	Duplicate?
	73	Raj Shethia	Duplicate?
	74	Raj Shethia Michelle Scotti	Duplicate?
	75	Rajesh Ramdas	
	76	Ranu Gokhroo	
	77	Sanjai Natesan	
	78	Scott Atole	
	79	Scott McMahon	
	80	Sean Pearson	
	81	Shilpa	Duplicate?
	82	Shilpa Patel	Duplicate?
	83	Shilpa Vadodaria	Duplicate?
	84	Srini Dhanam	
	85	Srini Dhanam	
	86	Srini Vejalla	
	87	Srini Vejalla	
	88	Steve Schimitz	
	89	Taruna Gautam	
	90	Testing Team	
	91	Tony Curatola	
	92	Vendor	What vendor is this?
93	Victor Zele		
94	Vijay Bangera		
95	Vinayak Saokar		
96	Website Vendor		
97	Yolanda Miles		
Sources	Master Project Schedule, v1.6 Draft		
Risks	2. Inability to ascertain accurate project staff resources		
Recommendations	2. Correct errors among the staff resource data 3. Revisit established formal review and sign-off procedures and use the plan-do-check-act cycle as the basis for quality improvement		
Oversight Task Numbers	QA 1.1; 1.4; 3.2; PM 17.8		
Reference(s) to	Project Management Institute, A Guide to the Project		

Industry Standard(s)	Management Body of Knowledge/Project Communication Management, Edition 3, 2003; CMMI Development, (CMMI-DEV, v1.3);	
Priority	LOW	
Finding Origination	20141130	
Progress Indicator	CLOSED	DATE: 20141231
Status	<p>The PMO updated the schedule to version 3.0; all staff resources are clearly identified with first and last name.</p> <p><i>This finding has been sufficiently remediated; it is anticipated that this finding will be closed in the next monthly report.</i></p>	

3.4 Requirements Management

Finding Number	F-RM-MRR05-001	
Finding Name	Lack of Notices Traceability to Testing	
Description	The RTM does not show requirements for Notices functionality, and therefore the notices lack traceability to UAT test scripts.	
Sources	R1 UAT Go/No-Go Meeting, 20140923 NMHIX Individual RTM v2.5, 20140925	
Risks	<ol style="list-style-type: none"> 1. Missed Notices and Content 2. Missed Test Cases 	
Recommendations	1. Update the RTM to explicitly show requirement(s) for Notices and their traceability to UAT test scripts.	
Oversight Task Numbers	RM-1.6; RM-4.1	
Reference(s) to Industry Standard(s)	IEEE Std 1012-1998 IEEE Standard for Software Verification and Validation; IEEE 830-1998, Recommended Practice for Software Requirements Specs	
Priority	MEDIUM	
Impact	Degree: Medium	Time Criticality: Immediately
	Probability: Low	
Finding Origination	20140930	
Progress Indicator	No Progress Observed	DATE: 20141231
Status	<p>GI produced Notice Approval Sheet 1.7, not dated (received 20141216) which demonstrated traceability between notices and releases. This document also included triggering actions for each notice. However, the issue of notices being traced to test scripts was not addressed. Notice Traceability R0 R1 20141110 was used to demonstrate traceability between notices and UAT test scripts. However, this document has been marked obsolete, therefore, removing that traceability.</p> <p>Recommendation:</p>	

	<p>1. Provide clarification on how notices are being traced to UAT test scripts.</p> <p><i>This finding can be remediated by Updating the RTM to explicitly show requirement(s) for Notices and their traceability to UAT test scripts.</i></p>
--	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Finding Number	F-RM-MRR05-002	
Finding Name	RTM Not Kept Up to Date	
Description	The RTM was not updated to reflect Release 0 changes such as deferrals requirements. It is unclear as to whether all requirements that were planned for R0 actually went into R0, or if they were deferred to a later release.	
Sources	NMHIX Individual RTM v2.5, 20140925	
Risks	<ol style="list-style-type: none"> 1. Lack of status to monitor progress 2. Missing data to make recommendations where applicable 	
Recommendations	<ol style="list-style-type: none"> 1. Update the RTM to reflect the Release in which each requirement was accomplished or is currently planned, including deferred requirements. 	
Oversight Task Numbers	RM-14.3	
Reference(s) to Industry Standard(s)	CMMI Development, (CMMI-DEV, V1.3)	
Priority	MEDIUM	
Impact	Degree: Medium	Time Criticality: Immediate
	Probability: Low	
Finding Origination	20140930	
Progress Indicator	CLOSED	DATE: 20141231
Status	An updated version of the RTM, <i>NMHIX Individual RTM v2.6, 20141104</i> was uploaded to Sharefile. Final Verification (PCG) was updated to include test results for Release 0 and Release 1.	

3.5 Applications Security

No findings presented during this period.

3.6 Development Environment Oversight

No findings presented during this period.

3.7 Software Development

Finding Number	F-SD-MRR06-001
Finding Name	Insufficient Access to Code Development
Description	<p>Code development and the standards and process(es) currently in place for code development are not accessible to NMHIX. Coding for the GetInsured COTS product may be proprietary; conversely, NMHIX should have insight into the coding and management of coding performed for NMHIX specific functionality (esp. enhancements).</p> <p>The System Integrator (SI) vendor indicated that it follows the coding standards and guidelines using Sonar, an open source Platform used by development teams to manage source code quality. Managing source code quality provides critical visibility into the expectations for system maintenance, testing and overall quality.</p> <p>Sonar supports Jira integration and a web-reporting tool to display code quality dashboards on projects. These dashboards are not accessible to NMHIX, neither are they available on Sharefile.</p> <p>F-SD-MRR06-001(a). Embedded code design is not accessible. Without access to the code, NMHIX may not have an adequate understanding of the low-level design.</p> <p>F-SD-MRR06-001(b). Coding standards and guidelines compliance reports are not accessible to provide insight into code quality levels and the adherence to established standards.</p>
Sources	Sharefile Search; Code Development, Configuration and Management Interview 20141009
Risks	<ol style="list-style-type: none"> 1. Inability to understand coding sufficient to perform basic maintenance during Operations 2. Inability to confirm the level of adherence to coding standards and guidelines
Recommendations	<ol style="list-style-type: none"> 1. Make code design for NMHIX specific functionality accessible to NMHIX. 2. Provide access to coding standards and guidelines dashboards/compliance reports to NMHIX via Jira or in regular reporting.
Oversight Task Numbers	SD-9.1, 9.3, 9.4, 9.5
Reference(s) to Industry Standard(s)	IEEE Std 1012-2012 IEEE Standard for Software Verification and Validation

Priority	HIGH	
Impact	Degree: High	Time Criticality: Long Term
	Probability: High	
Finding Origination	20141031	
Progress Indicator	CLOSED	DATE: 20141231
Status	<p>F-SD-MRR06-001(a). RESCINDED. This finding component is not applicable to the NMHIX. The Exchange does not intend to manage the software application at the code level. However, in the event that GetInsured is no longer contracted as the vendor to provide software as a service, NMHIX will be limited in its ability to maintain the code.</p> <p>Recommendation:</p> <ol style="list-style-type: none"> NMHIX should re-assess this contract language and reconcile it with its intentions for operations, and in supporting any transfer system intentions CMS might have. <i>Section 11. Intellectual Property - 1.1 Intellectual Property and Proprietary Information Ownership and 11.2 Developed IP of the GetInsured Final Executed Contract 20130517, NMHIX shall own the entire right and title and interest in and to all materials developed or acquired and all works of authorship and Intellectual Property developed by Contractor or its subcontractors, in whole or in part, specifically and solely for the benefit of NMHIX pursuant to the specific terms of a Change Order and shall exclude Contractor Software (the "Developed IP").</i> <p>F-SD-MRR06-001(b). Closed. GI produced the NMHIX – SonarQube Ghix Application 12-10-2014 dashboard from the Sonar tool that is being used to manage the quality of code. Dashboards/compliance reports provide insight into code quality levels and the adherence to established standards. Managing source code quality provides critical visibility into the expectations for system maintenance, testing and overall quality.</p> <p>Recommendation:</p> <ol style="list-style-type: none"> Provide NMHIX access to coding standards and guidelines dashboards/compliance reports regularly, upon request or at a minimum for each new release. 	

Finding Number	F-SD-MRR08-001
Finding Name	Inadequate Code Development Standards Reporting
Description	<p>Finding, F-SD-MRR06-001, Insufficient Access to Code Development, was presented in November 2014. That finding included two parts. Part (a) was rescinded after clarification was provided that NMHIX did not plan to manage the software application at the code level. To address part (b) (<i>Coding standards and guidelines compliance reports are not accessible to provide insight into code quality levels and the adherence to established standards</i>), the Integrator provided a SonarQube Ghix Application dashboard from the Sonar tool used to manage code quality.</p> <p>IV&V extracted three (3) categories of data from the SonarQube Ghix Application dashboard to assess the quality.</p> <ul style="list-style-type: none"> • Lines of Code – 267,365 • Complexity – 47,504 • Issues – 11,401 <ul style="list-style-type: none"> ○ Blockers – 5 ○ Critical – 75 ○ Major – 6962 ○ Minor – 4025 ○ Info – 334 <p>F-SD-MRR08-001 (a). False Positives. The dashboard did not clearly identify the degree for which false positives were tracked and reported. SonarQube provides functionality for filtering false positives; however, it was unclear if the dashboard data contained false positives or if they had been filtered out of the data presented.</p> <p>F-SD-MRR08-001 (b). Complexity. It appears that complex coding represented 18% of all source code. A quality assessment would include additional detail as to the contents of the “complexity” delta rather than a high-level count. The dashboard provided no information as to what steps were in place to remedy the cause, reduce the number of complexities and to indicate what level of complexities was acceptable.</p> <p>F-SD-MRR08-001 (c). Issues. Issues were identified in 4% of the coding, including critical and blocker issues. The dashboard provided no additional information as to the impact of these issues on the overall coding or how the Integrator planned to manage the issues.</p>
Sources	NMHIX – SonarQube Ghix Application 12-10-2014 dashboard

Risks	<ol style="list-style-type: none"> 1. Potential defects forwarded to testing activities 2. Negative impact to testing schedule 3. Negative impact to development schedule 4. Harder to test code 5. Harder to maintain code 	
Recommendations	<ol style="list-style-type: none"> 1. Provide clear quality information about the quality of coding. 2. Provide evidence that there are approved standards established for code complexity and code issues. 3. Provide evidence of corrective actions for coding quality that is not maintaining established standards. 	
Oversight Task Numbers	SD-9.4	
Reference(s) to Industry Standard(s)	IEEE Std 1012-2012 IEEE Standard for Software Verification and Validation	
Priority	HIGH	
Impact	Degree: High	Time Criticality: Long Term
	Probability: High	
Finding Origination	20141231	
Progress Indicator	New	DATE: 20141231
Status		

1.8 Data Management

No findings presented during this period.

3.9 Operating Environment

No findings presented during this period.

3.10 System and Acceptance Testing Oversight

No findings presented during this period.

3.11 Training Oversight

Finding Number	F-TR-MRR06-001
Finding Name	Inadequate Knowledge Transfer Approach
Description	There is no documented knowledge transfer approach with measurable criteria. Adequate planning for system transfer to the NMHIX to ensure NMHIX staff readiness for post Go-Live operations and maintenance is not evident. Knowledge Transfer (KT) activities/tasks can be a way for NMHIX staff to gain job-relevant knowledge and skills. By starting KT early in the project, it can support a smooth transition for sustaining business operations after the System Integrator leaves and it can reduce

	or mitigate project risk through joint ownership and accountability.	
Sources	<i>Rebaselined Project Schedule, GetInsured Scope of Work, PMO Scope of Work, Interview with NMHIX Financial Manager, Sharefile Repository Search</i>	
Risks	<ol style="list-style-type: none"> 1. NMHIX staff not prepared to receive the system for O&M 2. NMHIX staff unable to manage and utilize system data 3. Prolonged system outage and downtime 	
Recommendations	<ol style="list-style-type: none"> 1. Develop a Knowledge Transfer agreement with all vendors to transfer knowledge to NMHIX staff. 2. Utilize an overarching Knowledge Transfer plan and schedule to track the status of KT; monitor that all pertinent topics are covered; and address any knowledge interdependencies among the project team. 3. Ensure that adequate documentation is created and shared as a result of KT so that the knowledge gained is not lost with staff turnover, off-boarding, etc. 4. Hire or place appropriate state staff to participate in regular sharing and exchanging of system and data knowledge. 	
Oversight Task Numbers	TR 1.7, TR 3.3	
Reference(s) to Industry Standard(s)	IEEE/EIA 12207.1-1997. Standard for Information Technology – Software Life Cycle Processes – Life Cycle; CMMI v1.2 Level 3 PA: Organizational Training, Section SG2, Provide Necessary Training and Section SP 2.1, Deliver Training, page 283 – 284; CMMI v1.3 Level 3 PA: Organizational Training	
Priority	MEDIUM	
Impact	Degree: Medium	Time Criticality: Long Term
	Probability: High	
Finding Origination	20141031	
Progress Indicator	Progress Observed	DATE: 20141231
Status	<p>The draft NMHIX SHOP Knowledge Transfer (KT) Plan v1.0, 20141219 included the following sections: Introduction; Organizational Overview; Document Repository Overview; Project Management Plans; Business Owners, Policies and Procedures; Business Process Flows; and System Training. The plan indicated that the SHOP Policies and Procedures were finalized by NMHIX, PMO and System Integrator.</p> <p>Although Section 5, Business Owners, specified the formal business owners for components of the SHOP project, there were several functional areas for which only a vendor resource was assigned. To ensure ongoing coverage of all SHOP responsibilities, it is recommended that an NMHIX resource is also assigned to each functional area.</p>	

	The timeline and milestones for completion of KT activities was not provided and was stated to be completed between the employee and supervisor. Of the 26 training modules listed, there were nine (9) trainings for which an associated release had not been determined.
--	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

3.12 Operations and Maintenance Oversight

No findings presented during this period.

3. Assessment Risks, Issues and Change Requests

4.1 Risk Management

Risk mitigation procedures for RED and YELLOW risks, as published in the NMHIX Risk Management Plan, Section 4.1.2 – Risk Categorization, were not adequately implemented; that Plan informed: “...a detailed mitigation and remediation strategy is required, including completion of a risk mitigation document”; the mitigation documents for RED and YELLOW risks were not in evidence.

The risk management team included mitigation actions in the Risk Register; however, they largely represented only next steps in the risk’s mitigation, not a plan that included due dates and resources broken into sequential steps.

The table below summarizes open high priority risks.

Table 4.1.1 Summary of ‘Red’ Risks	
RED	RI67: Performing data migration and renewals from FFM accounts to NMHIX system has not been developed and it is unclear how much support we will receive from CMS
RED	RI68: NMHIX does not receive full grant funding from CMS (NOTE: This realized risk is in process of being converted to an Issue)
RED	RI71: Timeliness of re-design is at risk with HSD assuming more scope of work. Development and testing depend on completion of ongoing HSD/NMHIX JAD sessions

4.2 Issue Management

Similar to the Risk Register, IV&V has found no evidence of Action Plans for issues, and believes the absence of action plans is a contributing factor in the average time required to resolve some issues. Graph 4.2.1 summarizes active RED- and PINK-rated issues.

Current issue management procedures were largely consistent with those documented in the Issue Management Plan. However, procedures can be more effective; in the recommendations below, IV&V renews previous recommendations that were not integrated into the Issue Management Plan and are not being used to manage NMHIX issues.

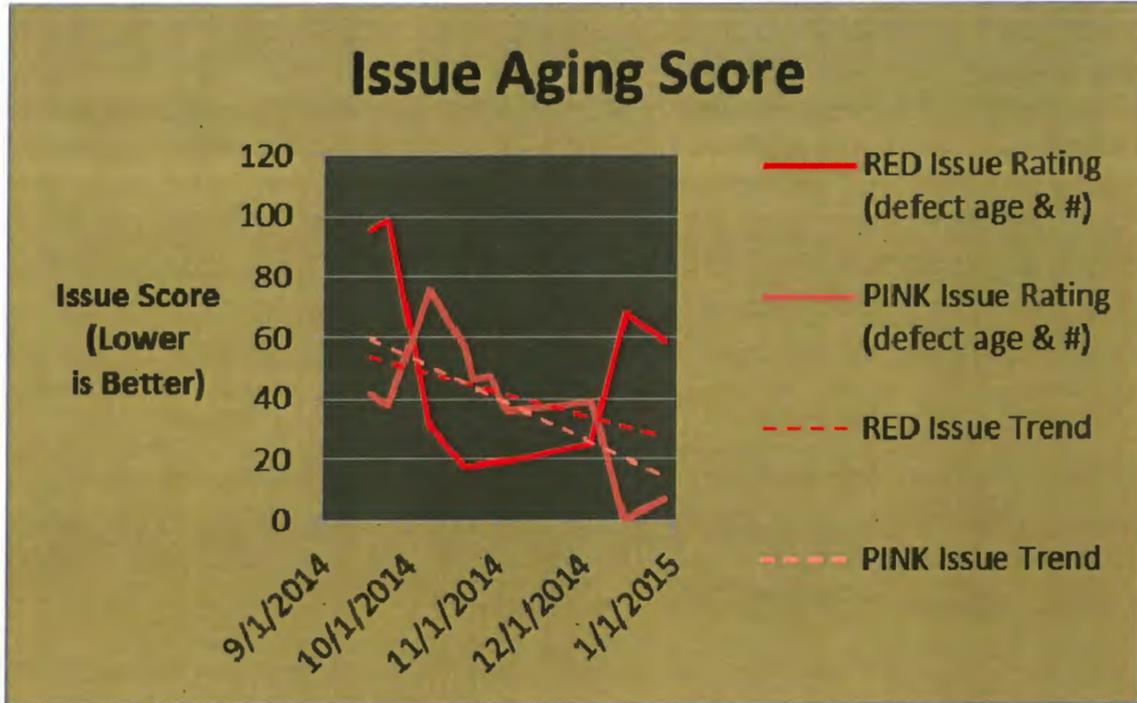
Recent issue aging performance continued to trend positively (i.e. improved); Graph 4.2.2 shows issue scores trending lower (lower is better), primarily due to the reduced number of active issues. These overall RED and PINK ratings show temporal change that account for both the number and age of issues.

Recommendations:

1. Assign dates and Owners to each issue action plan step, especially when they have more than one Issue Owner.
2. Track overall progress toward Issue resolution by tracking progress on each action plan step.
3. Escalate issues if they fall behind the action plan's resolution schedule.

Table 4.2.1 – Summary of Project Issues	
RED	II11: Carriers have not completed the EDI testing for SHOP
RED	II27: JAD document review and approval
PINK	II55: The required Provider Directory requires a change request
RED	II57: CMS-mandated business process flow changes that impact current NMHIX design (requires re-design)

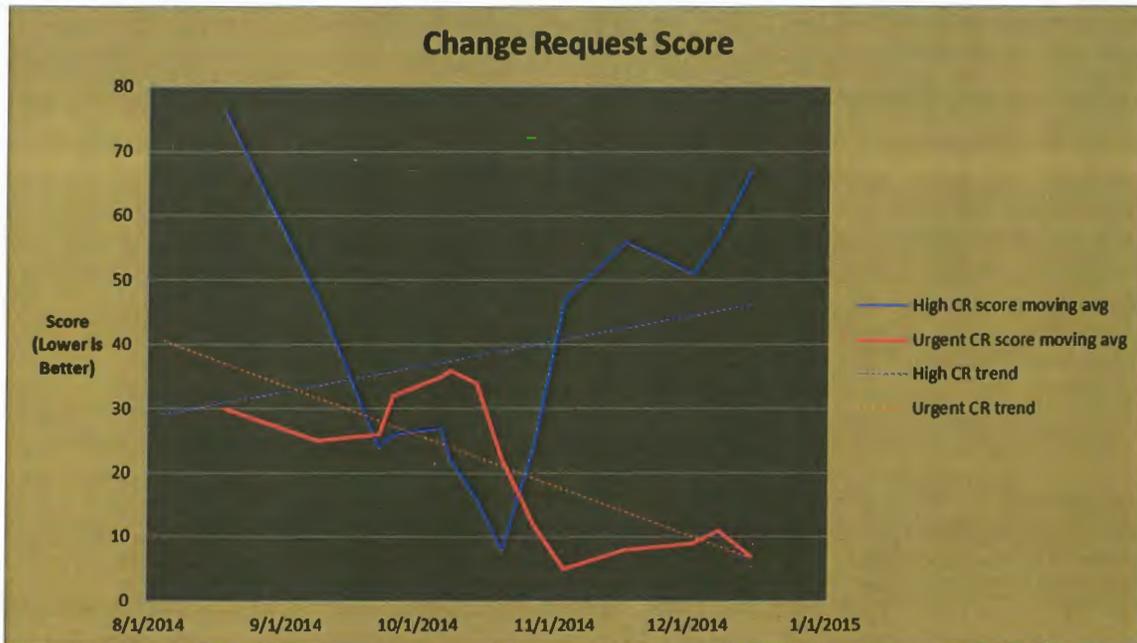
Graph 4.2.2 – Issue Score



4.3 Change Request Management

Change request procedures were largely consistent with those documented in the Change Management Plan. CR performance continued to trend positively (i.e. improved); the following graph shows CR scores trending lower (lower is better). IV&V closed Finding F-PM-MRR04-001 (*CR Disposition Not Consistent With Schedule*) on 31 October 2014 with the understanding that the project management team would address previous recommendations to resolve existing change management best practice gaps. Below, IV&V renews the previous recommendations that can help sustain CR effectiveness in supporting the project quality, cost and schedule.

Graph 4.3.1 – Change Request Score



Recommendation:

1. Write escalation procedures by Priority in the Change Management Plan (ChMP) for the case that a CR has not met expected timelines; include what specific action(s) are needed, and by whom, to quickly resolve the CR.
2. Make ChMP updates based on the CCB's 20 October 2014 meeting e.g. put timelines around each step in the CR process flow diagram.
3. Require CR impact analyses to include the estimated DDI time, so that schedule time to accomplish current Steps 7, 8 and 9 will be more realistically planned.
4. Require impact analyses that include impact on scheduled NMHIX release dates and – regardless of the results of those analyses – also include contingency plans; the goal of the contingency plans should be to mitigate the risk of delayed implementations if the change is accepted by the CCB, but subsequently falls behind the estimated duration such that it threatens the release.

5 Oversight Summary

During the December review of the New Mexico HIX project, the SES IV&V Team conducted an assessment of the project in the following oversight areas: Planning Oversight (PO), Project Management (PM), Quality Management (QA), Requirements Management (RM), Applications Security (AS), Operating Environment (OE), Development Environment (DE), Software Development (SD), System and Acceptance Testing (ST), Data Management (DM), Training (TR), and Operations and Management Oversight (OM). The SES IVV Team observed project processes, reviewed and analyzed project artifacts, and interviewed project team members to obtain clarification and understanding of observations that otherwise could not be verifiably reported.

The project team (NMHIX, GI and HSD) completed the high-level requirements definition effort for the single portal requested by CMS. The high-level design was submitted to CMS for review and comment. The team appeared to be on schedule for the beginning of development pending concurrence from CMS.

Significant changes to project structure are anticipated. The Exchange released a Request for Proposal (RFP) to procure services for another Project Management Office vendor. The new services would encompass all of the project rather than just the Exchange. Another procurement was released to obtain services for an integrator to support the Exchange. Procurements are expected to be awarded in January 2015. IV&V services are expected to provide oversight for all NMHIX project activities from a single vendor. The contract for the HSD IV&V vendor ended December 31, 2014.

NMHIX submitted a grant application to secure additional project funding. CMS denied the request; however, the mandated changes to the project, especially the design for a single point of entry for users, did not change. The project dedicated efforts to developing mitigation strategies resulting from the reduced funding. These efforts are anticipated to require additional attention to the project areas of Scope, Cost and Schedule to prevent scope creep and budget overruns while maintaining the greatest service to New Mexicans.

5.1 Changes in Priority Ranking

There were no changes in Priority Ranking.

Table 5.1 Changes in Priority Ranking

Lowered Priority	Finding Name	Previous Priority	Current Priority
NA			
Raised Priority			
NA			

5.2 Summary of New Findings

There was one (1) new finding this reporting period. This finding was presented to address the inadequacies in the data submitted to NMHIX describing the quality of code development management.

Table 5.2.1 Summary of Findings

Table 5.2.1 Summary of New Findings		
Finding #.	Priority	Finding Name

Table 5.2.1 Summary of New Findings		
Finding #	Priority	Finding Name
F- MRR08-SD-001	HIGH	Inadequate Code Development Standards Reporting

5.3 Disposition of All IV&V Findings

Table 5.3.1 Priority Ranking of All Open Findings below represents the sum of open findings at the end of this reporting period (December 1-31, 2014).

Table 5.3.1 Priority Ranking of All Open Findings

Priority Ranking of All Open Findings		
Priority	Percent of Total	Number of Findings
Urgent	0	0
High	50%	1
Medium	25%	2
Low	25%	1
Total Open		4

Graph 5.3.1 below depicts the percentage of total open findings by Priority from the Initial Review Report (IRR) through present.

Graph 5.3.1 Priority Rankings: Percent of Total Open Findings

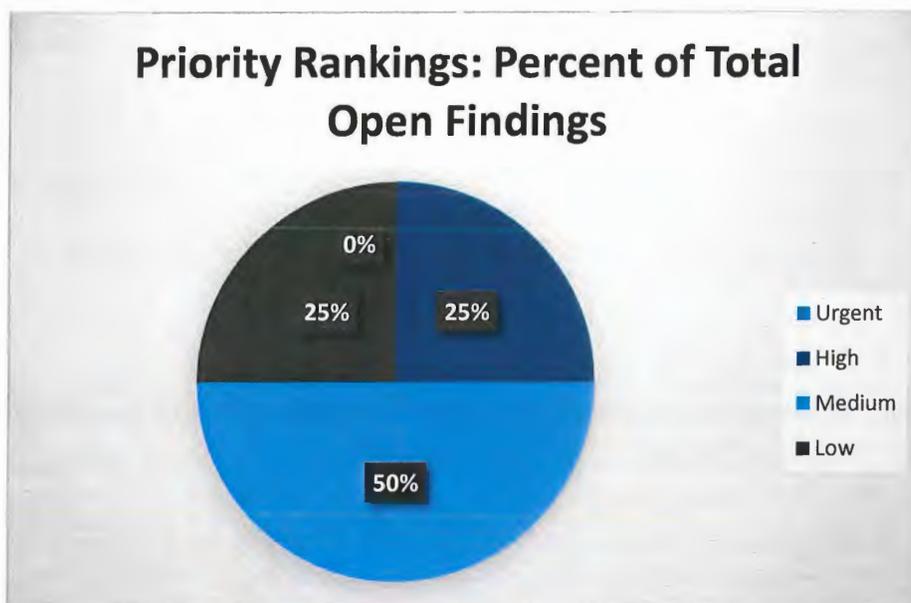
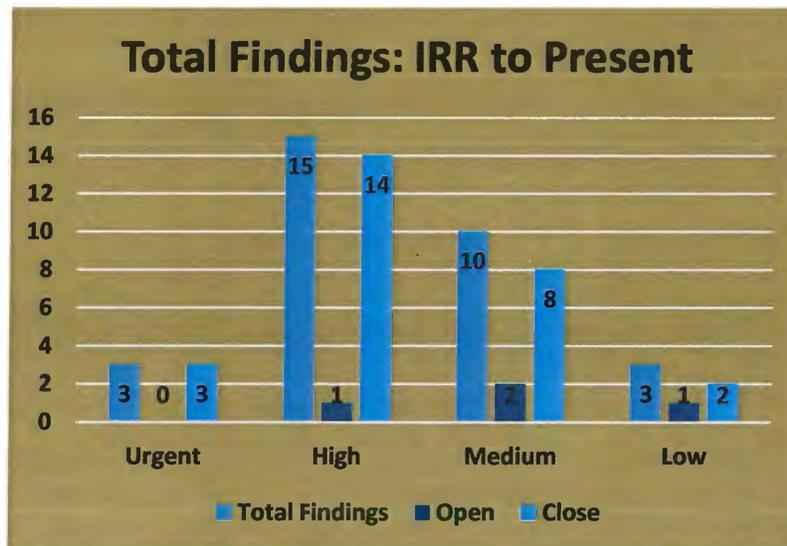


Table 5.3.2 and Graph 5.3.2 below depict the total number of findings, total open findings, and total closed findings by Priority ranking from the Initial Review Report (IRR) through present.

Table 5.3.2 Total Findings from IRR to present

Total Findings from IRR to present				
Priority	Total Findings	Total Open	Total Closed	Percent of Total Finding
Urgent	3	0	3	10%
High	15	1	14	48%
Medium	10	2	8	32%
Low	3	1	2	10%
Total	31	4	27	

Graph 5.3.2 Total Findings: IRR to Present



Graph 5.3.3 below presents a summary of the time required to resolve all closed findings combined with the current age of open findings.

Graph 5.3.3 Average Age of IV&V Findings



5.4 IV&V Activities

A breakdown of the types of activities performed during this Monthly Review Report period (December 1-31, 2014) is provided in Table 5.4.1 Activity Work Type Breakdown below. Appendix B, Work Performed is a detailed list of the activities performed by the IV&V team to gather information sufficient to assess project progress.

Table 5.4.1 Activity Work Type Breakdown

Activity Work Type Breakdown	
Oversight Area / Activity Work Type	Number of Events
Interview	3
Meeting	31
Process Review	0
Product Review	23
TOTAL	57

During the Monthly Review Reporting (MMR-09) period (January 1 – 31, 2014), the IV&V Team will follow the Project Management Work Plan-01 scope of oversight tasks. In the event that issues are identified that require urgent attention, especially serious

risks to scope, quality, cost, and project timeline, notification to the NMHIX IV&V Project Manager will be provided immediately. All twelve (12) oversight areas will be assessed as data is available.



4.4

APPENDIX D – READINESS ASSESSMENT PLAN AND REPORT

Readiness Assessment Plan

State of [State] [Module]

Independent Verification and Validation Services

Prepared by:



Software Engineering Services
1311 Ft. Crook Road South, Suite 100
Bellevue, NE 68005

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Document Control

This is a controlled document. The control and release of this document is the responsibility of the document owner.

Version control			
Document reference		Project	
Version	0.1	Date	Owner
Document title	Privacy and Security Plan Template		
Version History			
Version	Date	Author	Comment

We have reviewed and agreed to the information described in this document and referenced attachments.

Approval			
Name	Title	Date	Signature

1. Introduction

1.1 Purpose

The [Project Name] Readiness Assessment Plan enhances the probability that all necessary plans and documents are prepared; design and build are complete; all Implementation Contractor testing results are acceptable to the State and CMS; and any other approved UAT Entrance Requirements have been met.

1.2 Overview

This document provides the roles, major activities and milestones to support, prepare for and execute a coordinated plan for readiness assessments.

1.3 Scope

This Plan is a roadmap for planning and executing the:

- Implementation Readiness Review, generally occurring near the end of the CMS Requirements, Design and Development Phase
- Operational Readiness Review during the CMS Integration, Test and Implementation Phase

1.4 Roles and Responsibilities

The table below summarizes [Client], [SI Vendor], CMS and IV&V activities and roles. It is a summary level list of activities, not a complete schedule.

Activity	State	SI Vendor	IV&V	CMS
Implementation Readiness Review Prep and Execution				
Prepare Requirements, Design and Build documentation		✓		
Assess and report on implementation of Requirements, Design and Build documentation			✓	
Assess and report on effectiveness and quality of Requirements, Design and Build documentation			✓	
Prepare Readiness Review Plan			✓	
Participate in periodic progress/status meetings	✓	✓	✓	✓
Prepare System, Integration, Performance and Regression Test Plans		✓		
Perform Unit, System, Integration, Performance and Regression Testing		✓		
Provide all Reports for phase testing		✓		

Activity	State	SI Vendor	IV&V	CMS
Assess and report on implementation of all Test Plans and Test Reports			✓	
Prepare and submit to State and CMS the Periodic Progress Report(s)			✓	
Assess and coordinate further actions required based on Periodic Progress Report(s)	✓	✓		✓
Prepare for and facilitate the IRR			✓	
Participate in the IRR	✓	✓		✓
Assess and report on IRR results and findings			✓	
Go/No-Go decision to begin UAT	✓			✓
If 'No-Go', remedy deficiencies	✓	✓	✓	
If 'Go', IRR is complete				
Operational Readiness Review Prep and Execution				
Update Plans and other deliverables for ORR		✓		
Continue to assess and report on Vendor documentation			✓	
Update Implementation Plan			✓	
Perform UAT and defect management	✓			
Support and assist with UAT		✓		
Correct deficiencies resulting from UAT		✓		
Participate in periodic progress/status meetings	✓	✓	✓	✓
Prepare and submit to State and CMS the Periodic Progress Report(s)			✓	
Assess and coordinate further actions required based on Periodic Progress Report(s)	✓			✓
Provide all Reports for phase testing		✓		
Assess and report on implementation of UAT Plan and Reports			✓	
Prepare for and facilitate the ORR				✓
Participate in the ORR	✓	✓	✓	
Submit certification request	✓			
Prepare and submit to State and CMS the Certification Progress Report(s)			✓	
Assess and coordinate further actions required based on Certification Progress Report(s)	✓	✓		✓

Activity	State	SI Vendor	IV&V	CMS
Conduct Certification Final Review(s)				✓

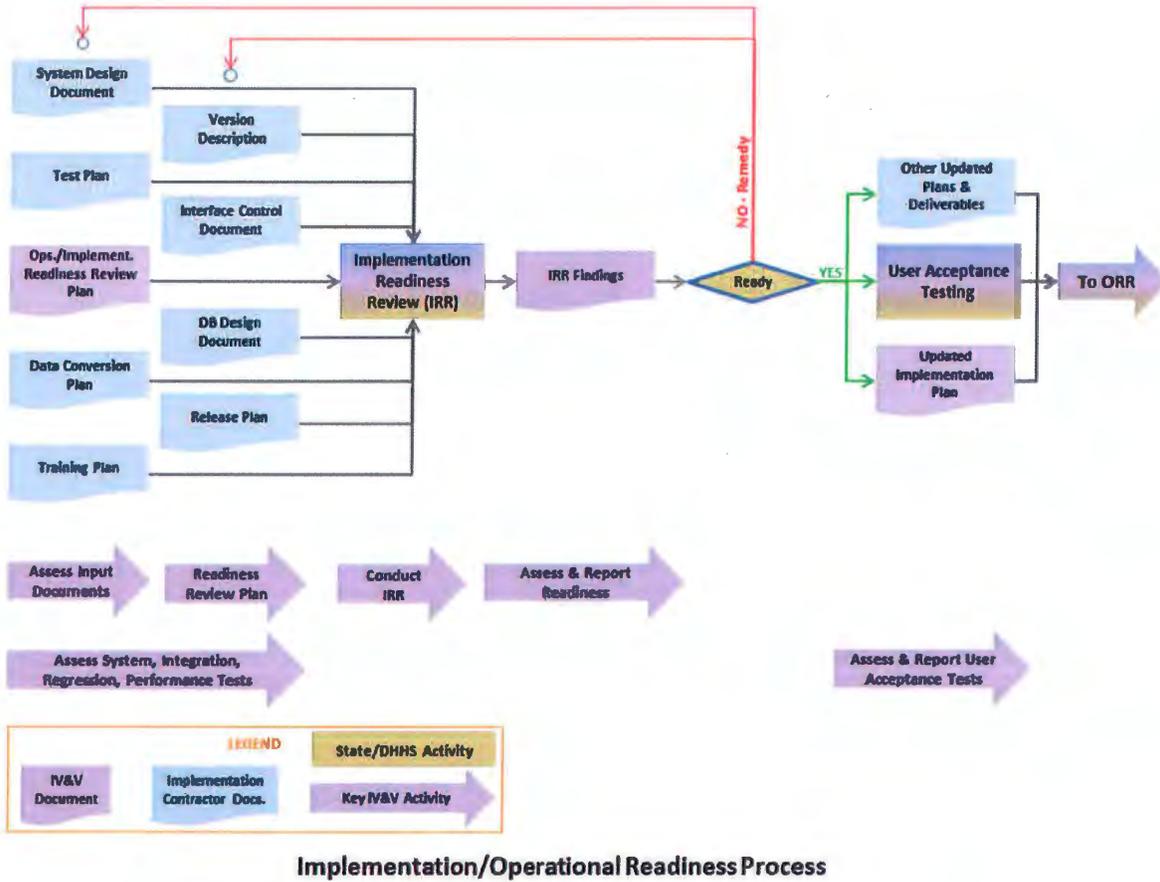
2. Assessment Method

The SES IV&V Team’s readiness assessment methodology is the same as for oversight data collection, analysis and reporting of all project activities; that method has been previously documented in the IV&V Project Management Plan.

3. Assess the Preparation and Readiness for Reviews

The activities and responsibilities in this document will be integrated into the IV&V Work Plan (schedule). As documented in the IV&V Project Management Plan, the IV&V Work Plan is routinely updated to align with the SI Vendor’s overall [Project Name] schedule.

Appendix A – Readiness Process Diagram





Appendix B – Readiness Assessment Report

Per the IV&V services contract, readiness reporting occurs in two ways:

- a. As a component of the IV&V Monthly Reports.
- b. As periodic Certification Progress Reports in a format to be specified by CMS. The Section 1.4 table above includes periodic Certification Progress Reporting in support of [Project Name] Readiness Reviews.



4.5 APPENDIX E

- Privacy and Security Plan Template
- Sample Privacy and Security Plan Report

Privacy and Security Plan

State of Nebraska

Independent Verification and Validation Services

Prepared by:



Software Engineering Services
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Bellevue, NE 68005

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Document Control

This is a controlled document. The control and release of this document is the responsibility of the document owner.

Version control			
Document reference		Project	
Version	0.1	Date	Owner
Document title	Privacy and Security Plan Template		
Version History			
Version	Date	Author	Comment

We have reviewed and agreed to the information described in this document and referenced attachments.

Approval			
Name	Title	Date	Signature

1. Introduction

1.1 Purpose

Summarize the document's purpose in the project context, for example, to support a Client's CMS review or certification requirement.

1.2 Overview

Provide a brief overview of its contents.

1.3 Scope

State the Plan's scope. Include as needed: The applicable timeframe or project life cycle(s); and/or project or program phase(s).

1.4 Roles and Responsibilities

List roles and responsibilities of IV&V, the State/Client Team, the DDI/SI Vendor, and any other vendor(s) as applicable including: PMO, QA.

2. Assessment Method

Describe the methodology to perform oversight of project security and privacy. Include:

- a. SES IV&V methodology or a reference to the appropriate SS Project Management Plan component that defines methodology. Include: Worksheets and checklists usage; and data gathering through meetings, product evaluations, and interviews.*
- b. Integration of SES' security/privacy checklist question sets with CMS-provided checklists.*

2.1 Prepare the Security Plan

Prepare to meet the unique security requirements by tailoring this document to the project/program.

3. Assess the Security Controls and Preparedness

The main content of this section is on the IV&V oversight of security planning and execution effectiveness according to the standards contained in IV&V and/or CMS checklists, as applicable.

4. Assess the Processes

The focus is on security processes/procedures documentation, and the project team's adherence to those plans and procedures according to the standards contained in IV&V and/or CMS checklists, as applicable.

Appendix A – CMS Security Requirements Checklist

SECURITY REQUIREMENTS CHECKLIST

Security Requirement Checklist	Able to meet Requirement	Not able to meet Requirement	Justification for not meeting requirements
1. Application must be able to integrate with standard DHS network structures, both physical & logical	Check X as appropriate	Check X as appropriate	
a. Adherence to DHS’s Zones of Control Architecture.			
b. Standardized Network and application user authentication.			
c. Use of DHS standard remote access connectivity, if needed			
d. Use of DHS standard encryption for protected data in transit.			
e. Limit the session time for inactivity per agency policy.			
2. Applications and servers must employ a secure configuration and hardening			
a. Adherence to Server Control standards			
b. Use only system components, ports, and processes required by the application.			
c. Apply all up to date security patches and updates.			
d. Disable all default accounts.			
e. Implement a compliant patch management process.			

Security Requirement Checklist	Able to meet Requirement	Not able to meet Requirement	Justification for not meeting requirements
f. Remove test data from production systems.			
g. Use service accounts with limited application and system access.			
h. Utilize DHS standard server images where available.			
i. Follow agency standard change control procedures			
3. Application secure coding practices			
a. Do not expose unneeded information such as traces, failure information, and data.			
b. Test for security errors in code and fix prior to production cutover.			
c. Utilize state-based variables.			
d. Assure no protected information is returned in error messages.			
e. Do not store database connections, passwords, keys or private information in plain text in source code, configuration files, or tables.			
f. Do not store private data in cookies, query strings, or form fields.			
4. Application must perform input validation.			
a. Validate input data by type, length, format and range.			
b. Use of minimum/maximum field lengths and values, and valid data ranges.			
c. Identify required fields.			

Security Requirement Checklist	Able to meet Requirement	Not able to meet Requirement	Justification for not meeting requirements
d. No use of hidden fields.			
e. Validate URL information			
f. No protected information in URLs			
5. Application user authentication			
a. Require individually unique user and administrator accounts with strong passwords or pin.			
b. Force user to change password upon initial use, for system assigned passwords.			
c. Meet or exceed agency password policy requirements			
d. Automatic lock-out after a period of inactivity the meets required agency timeout standard.			
e. Identify privileged accounts that service or administer user accounts			
6. Application user authorization			
a. All accounts must be related to a role, and the role describes what permissions a user has, which limits access to data to the minimum necessary to do the work.			
b. Identify and separate privileges for different roles - Administrator and User			
c. Restrict access to system level resources and restrict privileges to minimum necessary access/capability.			
7. Application auditing and logging			
a. Provide appropriate agency, HIPAA and			

Security Requirement Checklist	Able to meet Requirement	Not able to meet Requirement	Justification for not meeting requirements
legislatively mandated logging and auditing capabilities.			
b. Capture key parameters for auditing and logging per agency policy including login, unsuccessful login attempts, time, user, type of modification, file/data modified, and deletions.			
c. Record inserts and updates that are aborted when event handler identifies invalid input.			
d. Protect audit logs from alteration.			
e. Develop a process to review unauthorized login attempts.			

Appendix B – CMS Security and Privacy (Business) Checklist

CMS Checklist Background

1. Within the Health Insurance Portability and Accountability Act (HIPAA) there are two separate Rules governing Privacy and Security.
 - a. The Privacy Rule deals with the Rights of individuals to safeguard the privacy of their health care information. Privacy Rule compliance is under the jurisdiction of the Office for Civil Rights.
 - b. The Security Rule deals with the requirements of facilities, systems, and processes to safeguard information for which it is liable.
2. There is an overlap between parts of the Privacy Rule and the Security Rule. The overlap occurs when the MMIS is the vehicle or enabler of the process that enforces the Privacy requirements. For this reason, Privacy and Security requirements are combined into one checklist.
3. MMIS certification focuses on system functionality. To enforce compliance with the full range of Privacy and Security requirements, the Medicaid agency uses a range of reports, alerts, audits, and surveys. These are beyond the scope of MMIS certification. This checklist focuses on those functions within an MMIS that demonstrate the agency's ability to meet the system-related requirements of Privacy.

Sources for the criteria in this checklist are as follows:

IBP – Industry Best Practice. Items are selected from RFPs for MMISs developed by states and approved by CMS.

CFR – Code of Federal Regulations, available from

<http://www.access.gpo.gov/uscode/title42/title42.html>. Includes HIPAA Security and Privacy rules.

SP1 – CONTROL ACCESS TO SYSTEM AND DATA					
	Criteria	Source	Y	N	Comments
SP1.1	Verifies identity of all users, denies access to invalid users. For example: - Requires unique sign-on (ID and password) - Requires authentication of the receiving entity prior to a system initiated session, such as transmitting responses to eligibility inquiries	CFR			

SP1 – CONTROL ACCESS TO SYSTEM AND DATA					
	Criteria	Source	Y	N	Comments
SP1.2					
SP1.3					
SP1.4					

SP2 – PROTECT THE CONFIDENTIALITY AND INTEGRITY OF ePHI					
	Criteria	Source	Y	N	Comments
SP2.1					

SP3 – MONITOR SYSTEM ACTIVITY AND ACT ON SECURITY INCIDENTS					
	Criteria	Source	Y	N	Comments
SP3.1					

SP4 – SUPPORT INDIVIDUAL RIGHTS					
	Criteria	Source	Y	N	Comments
SP3.1					

Appendix C – SES IV&V Security Oversight Checklist Augmentation

(See separate IV&V Oversight Checklists for Security Management and Application Security)

Privacy/Security Review Report

[Project Name] Independent Verification and Validation

**[State Agency]
State of Florida**

Submitted by



Software Engineering
S E R V I C E S
Software Engineering Services
Tallahassee, FL 32399-0174

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1. Executive Summary

SES submits this IV&V Privacy and Security Report per [Contract Information]. At the request of the State of Florida's [Project Name] Project Director, the IV&V team has performed a thorough analysis of available data; data sources included herein are a small fraction of IV&V's oversight data for the reporting period that were relevant to the scope of this report; the data and its analysis appear in Section 2 below and include the following sources:

- Attendance at project meetings
- Analysis of Vendor deliverables
- Analysis of State and Vendor non-deliverable artifacts
- Interviews to clarify existing data and/or verify the absence of expected data

Much of the data resulted in verification of checklist security adherence and effectiveness. However, there were significant exceptions which resulted in IV&V identification of formal Findings with associated risks, which the reader will find in Section 3 below.

As is always the case with SES' IV&V Findings, there are actionable recommendations to mitigate or eliminate risk; however, it is possible that the [Project Name] management team (both State and Vendor) may identify and implement alternative, equally effective solutions.

2. Security and/or Privacy Data

QR 2.10.49	Are test Security Procedures defined and are security checklist/objectives developed? <i>Best Practice Reference: IEEE/EIA 12207.1-1997. Standard for Information Technology – Software Life Cycle Processes – Life Cycle Data</i>	
	Results	Finding/Recommendation
AOP Rating: PI	<p>F-04-002: Testing security procedures, security objectives, as well as security access procedures for unit testing are included in an expanded section of Security in the B006 Master Test Plan, v1.07. Similarly, security specifics for integration testing must be included in the B006 Master Test Plan.</p> <p>F-09-003: There is no consolidated and documented [PROJECT NAME] Security posture and no evidence that one is expected to be created. The B212 Business Blueprint document states that SAP security is a core component of the [PROJECT NAME] security design. A role based access control model plans to be used to secure access to SAP functionality and data using a risk based approach that will grant users access on a need-to-know and need-to-use basis. These roles include: Single Role, Composite Role, Business Role, and Portal Role. The B205 Development Guidelines and Conventions Document explain the security role development process methodology. According to the SAP Governance, Risk, and Compliance Solutions White Paper, security role development, secure data privacy, and authorized access control are paramount in the successful implementation of an SAP system. Documented details</p>	<p>F-04-002. Deficiencies in the B006 Master Test Plan.</p> <p>F-09-003. Gaps in [PROJECT NAME] Security Approach and Process.</p>

	<p>surrounding security role development, secure data privacy, and authorized access control are absent.</p> <p>Activities listed for Security Role Development in the [PROJECT NAME] Master Project Schedule, 20100528 are delayed. These roles are used to determine authorized access. The Organizational Change Management (OCM) team is responsible for defining the organizational alignment structure which must be compatible with security according to the security team since security role assignments are SAP specific. Security details are expected to be included in the informal submission of the B204C Design Description deliverable. Specific security tasks and activities identified in the [PROJECT NAME] Master Project Schedule are incomplete.</p> <p>The overall security testing process and procedures for unit, integration, and acceptance testing is unclear. Test script development as well as the documentation of the test results is undefined. Unit testing is currently taking place and the testing process of access, authorizations, and roles remains unclear.</p> <p>Sources: ITN, 20070824, Security Management, Section 4.3.11, pages 4-21 – 4-24 Overview of Security Management Activities Presentation Deck, 20090819 B006 Master Test Plan, v1.07, 20100202 Security Management Activities Presentation Deck, 20100225 [PROJECT NAME] Security Lead Meeting, 20100407</p>	
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	[PROJECT NAME] Security Team Meetings, 20100407, 20100505 [PROJECT NAME] Security Leads Interviews, 20100421 and 20100429 B201 Requirements Specifications, v1.02, 20100504 SAP CRM Application Security Presentation Deck, 20100504 [PROJECT NAME] Master Schedule, 20100528 [PROJECT NAME] ENT Security Plan, V2.00, 20090624 B212-Business Blueprint-Documents v1.01, 20100630, Section 6.13.11 Security Management, Page 95-96	
AOE Rating: PE	Not evaluated this period.	
QR 2.10.50	Do the security access procedures include security controls on the system to ensure the hardware and software components are protected from unauthorized use, modification, and disclosures, and to verify the accountability of the authorized users? <i>Best Practice Reference:</i> IEEE/EIA 12207.1-1997. Standard for Information Technology – Software Life Cycle Processes – Life Cycle Data	
	Results	Finding/Recommendation
AOP Rating: PI	<p>F-04-002: Testing security procedures, security objectives, as well as security access procedures for unit testing are included in an expanded section of Security in the B006 Master Test Plan, v1.07. Similarly, security specifics for integration testing must be included in the B006 Master Test Plan.</p> <p>A [PROJECT NAME] Security Team Meeting held on 7 April 2010 provided an opportunity for the Security Team to discuss the progress of security tasks and activities. The team discussed the impact of the Business Process Owners' decision to not have Composite Roles, only Single Roles. The Security Team indicated that this decision would create an Operations & Maintenance nightmare with continuous development and testing of additional Single Roles. Each functional module has 10% of the authorizations defined.</p>	<p>F-04-002. Deficiencies in the B006 Master Test Plan.</p> <p>F-09-003. Gaps in [PROJECT NAME] Security Approach and Process.</p>

To address the team's concerns, The Security Team leads are developing a pro and con presentation that includes illustrating the benefits of using the Compliance User Provisioning (CUP) Tool in the assignment of roles.

The [PROJECT NAME] Security Team met on 21 April 2010 and went through an agenda of what each team member was working on. The team was evaluating third party software packages to meet Internal Revenue Service (IRS) requirements. They said the new software would not have to be in place before integration testing. The [PROJECT NAME] Phase II Security Team is getting two new people from the Florida Support Group. There was also a follow-up team meeting on 05 May 2010 for the team member to provide statuses to assigned tasks.

Additionally, as part of developing a new Organizational structure once [PROJECT NAME] Phase II goes live, [AGENCY NAME] Work Force Transition (WFT) resource periodically meets with Business Process Owners (BPO) to map single roles to bodies of work. In a meeting on 20 April 2010, the Payment Processing and Fund Distribution (PPFD) Business Process Team met with the Project leadership, WFT team member and the Deloitte Financial Functional Team to discuss the access control based on the single roles identified by Deloitte for [PROJECT NAME] Phase II. The discussion primarily was to help Business Process Owners understand the way these single roles have been defined and their respective mapping to the Business Process flow in the PPF area.

F-09-003: There is no consolidated and documented

	<p>[PROJECT NAME] Security posture and no evidence that one is expected to be created. The B212 Business Blueprint document states that SAP security is a core component of the [PROJECT NAME] security design. A role based access control model plans to be used to secure access to SAP functionality and data using a risk based approach that will grant users access on a need-to-know and need-to-use basis. These roles include: Single Role, Composite Role, Business Role, and Portal Role. The B205 Development Guidelines and Conventions Document explains the security role development process methodology. According to the SAP Governance, Risk, and Compliance Solutions White Paper, security role development, secure data privacy, and authorized access control are paramount in the successful implementation of an SAP system. Documented details surrounding security role development, secure data privacy, and authorized access control are absent.</p> <p>Activities listed for Security Role Development in the [PROJECT NAME] Master Project Schedule, 20100528 are delayed. These roles are used to determine authorized access. The Organizational Change Management (OCM) team is responsible for defining the organizational alignment structure which must be compatible with security according to the security team since security role assignments are SAP specific. Security details are expected to be included in the informal submission of the B204C Design Description deliverable. Specific security tasks and activities identified in the [PROJECT NAME] Master Project Schedule are incomplete.</p> <p>The overall security testing process and procedures for unit,</p>	
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	<p>integration, and acceptance testing is unclear. Test script development as well as the documentation of the test results is undefined. Unit testing is currently taking place and the testing process of access, authorizations, and roles remains unclear.</p> <p>Sources: ITN, 20070824, Security Management, Section 4.3.11, pages 4-21 – 4-24 Enterprise Security Plan, V2.00, 20090624 Overview of Security Management Activities Presentation Deck, 20090819 B006 Master Test Plan, v1.07, 20100202 Security Management Activities Presentation Deck, 20100225 [PROJECT NAME] Security Team Meetings, 20100407, 20100505 ECC Role Mapping meeting, 20100420 [PROJECT NAME] Security Leads Interviews, 20100421, 20100429 B201 Requirements Specifications, v1.02, 20100504 SAP CRM Application Security Presentation Deck, 20100504 [PROJECT NAME] Master Schedule, 20100528 B212-Business Blueprint-Documents v1 001, 20100630, Section 6.13.11 Security Management, Page 95-96</p>	
<p>AOE Rating: PE</p>	<p>Not evaluated this period.</p>	

3. Security and/or Privacy Findings

3.1 Quarter #9 Finding

Development Oversight – Security

Finding Number: F-09-003

Finding Name: Gaps in [PROJECT NAME] Security Approach and Process

Description: The approach to [PROJECT NAME] security is unclear.

F-09-003(a): There is no consolidated and documented [PROJECT NAME] Security posture and no evidence that one is expected to be created. The B212 Business Blueprint document states that SAP security is a core component of the [PROJECT NAME] security design. A role based access control model plans to be used to secure access to SAP functionality and data using a risk based approach that will grant users access on a need-to-know and need-to-use basis. These roles include: Single Role, Composite Role, Business Role, and Portal Role. The B205 Development Guidelines and Conventions Document explains the security role development process methodology. According to the SAP Governance, Risk, and Compliance Solutions White Paper, security role development, secure data privacy, and authorized access control are paramount in the successful implementation of an SAP system. Documented details surrounding security role development, secure data privacy, and authorized access control are absent.

F-09-003(b): Activities listed for Security Role Development in the [PROJECT NAME] Master Project Schedule, 20100528 are delayed. These roles are used to determine authorized access. The Organizational Change Management (OCM) team is responsible for defining the organizational alignment structure which must be compatible with security according to the security team since security role assignments are SAP specific. Security details are expected to be included in the informal submission of the B204C Design Description deliverable. Specific security tasks and activities identified in the [PROJECT NAME] Master Project Schedule are incomplete. They include:

Table 1 Security Role Development Tasks and Activities

Security Role Development Tasks and Activities		
Task and Activity	Due Date	Status
Document Approach to Combine Phase 1 Security With Phase 2 Security and to Address Consolidate Security Requirements	20100525	50%
Update Procedures for Securing CRM	20100525	50%
Create procedures for securing CRM	20100602	0%
Update Approach to Securing BI	20100527	0%
Update Procedures for Securing BI	20100604	0%
Unit Testing of Roles	20100512	0%
Develop Security Integration Testing Strategy	20100526	0%

F-09-003(c): The overall security testing process and procedures for unit, integration, and acceptance testing is unclear. Test script development as well as the documentation of the test results are undefined. Unit testing is currently taking place and the testing process of access, authorizations, and roles remains unclear.

Risks:

1. Delay in security technical specifications and details for the security management section for inclusion in the B204 Design Descriptions deliverable
2. Delay to training course development and curriculum
3. Undetected or late detection of vulnerabilities
4. Scope Creep
5. Incomplete Role Matrix
6. Inadequate resource utilization process

[PROJECT NAME] II Recommendation

1. Complete organization model development and align with security roles
2. Complete the security related tasks and activities identified in the [PROJECT NAME] Master Project Schedule
3. Clearly identify the roles and responsibilities for all security testing activities through each of the testing cycles

Oversight Task Number Reference(s)

QR 2.10.49, QR 2.10.50

Reference(s) to Industry Standard

IEEE/EIA 12207.1-1997. Standard for Information Technology – Software Life Cycle Processes – Life Cycle Data_ IEEE 12207.0 1995 Section G.4 page 67, IEEE 829 1998 Section 6.4 ; SAP White Paper – Governance, Risk, and Compliance Solutions, March 2010

ACF Priority

N/A

Impact

Degree

N/A

Probability

N/A

Time Criticality

N/A

Finding Origination

30 June 2010

Progress Indicator

Closed

Status Update

F-09-003(a). Closed in QR-10. The Security Management section of the B204 Design Description deliverable details the security approach for the SAP modules. The Security and Workforce Transition teams are working together to properly document the overall security posture. The tasks and activities have been updated with statuses in the [PROJECT NAME] Master Schedule dated 18 August 2010. They are now complete.

F-09-003(b). Closed in QR-10. Specific security tasks and activities have been updated with statuses in the CMPS, 20100818. They are now complete.

F-09-003(c). Closed in QR-10. Unit testing is shared by the Security and Functional Teams; ECC will be tested by the Functional Team. During integration testing the Security Team will operate in a support role. 180 test scripts have been developed – one for each single role created.



This finding has been sufficiently remediated.

3.2 Quarter #13 Finding

Development Oversight – Requirements Traceability			
Finding Number: F-13-003			
Finding Name: Inadequate [PROJECT NAME] Security Approach and Process			
Description: The approach and process for [PROJECT NAME] security has missing, incomplete, and inadequate components.			
<p>F-13-003(a): Inadequate Federal Tax Information (FTI) Tracking Process. The process was inadequate to track users that were granted access and for what purpose to FTI data. Audit logging procedures were missing also. Controls for Identity Management were not in place to ensure the Confidentiality, Integrity, and Availability of sensitive information in [PROJECT NAME] Phase II environments.</p> <p>F-13-003(b): Missing Risk Assessment. IV&V has not observed any periodic risk analysis and assessment related to the SAP system for vulnerabilities and penetration.</p> <p>F-13-003(c): No Updated [PROJECT NAME] Security Plan. The current [PROJECT NAME] Security Plan does not include [PROJECT NAME] Phase II updates and there are no tasks or activities within the [PROJECT NAME] Master Project Schedule to update the Security Plan to include [PROJECT NAME] Phase II.</p> <p>Risks:</p> <ul style="list-style-type: none"> 6. Unapproved access to FTI data 7. Security Breach 8. Undetected or late detection of vulnerabilities 			
[PROJECT NAME] II Recommendation			
<ul style="list-style-type: none"> 4. Identify management security controls for FTI data. 5. Include risk assessment analysis in the regular security process performance. 6. Schedule the updates to the [PROJECT NAME] Security Plan. 7. Update the [PROJECT NAME] Security Plan. 			
Oversight Task Number Reference(s)			
QR 2.10.50			
Reference(s) to Industry Standard			
IEEE 12207.0 1995 Section G.4 page 67, IEEE 829 1998 Section 6.4 ; Automated Systems for Child Support Enforcement – A Guide for States, Section H page 82			
ACF Priority	Impact		Finding Origination
Urgent	Degree	High	30 June 2011
	Probability	High	Progress Indicator
	Time Criticality	Immediate	Progress Observed

Status Update	<p>F-13-003(a). Progress Observed. The [PROJECT NAME] Security Team and [AGENCY NAME] Contract Management held a series of meetings during the reporting period to discuss, review, and approve an updated contract system access form. The [PROJECT NAME] Contract Manager drafted a new access form. The form is expected to be the basis for the new access procedure. He solicited process owners to review the draft form and spreadsheet, confirming that all Clients, Instances and Roles were listed and accurately identified as those involved in access to FTI or any live data. The updated form was expected to improve the monitoring and tracking of access to Federal Tax Information (FTI) on [PROJECT NAME] by contractors. The original [PROJECT NAME] Phase II FTI breach was encountered with off-shore contractors and did not affect state employee access procedures. State staff access to FTI data was not an issue.</p> <p><i>This sub-finding will be sufficiently remediated when IV&V confirms improved [AGENCY NAME] logging procedures and monitoring controls are in place for the [PROJECT NAME] system.</i></p> <p>F-13-003(b). No Progress Observed.</p> <p><i>This sub-finding will be sufficiently remediated when IV&V can confirm risk analysis and assessment exercises were performed and included the [PROJECT NAME] SAP system for vulnerabilities and penetration.</i></p> <p>F-13-003(c). No Progress Observed.</p> <p><i>This sub-finding will be sufficiently remediated when an updated [PROJECT NAME] Security Plan is completed by the [PROJECT NAME] Team and received by IV&V.</i></p>
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Interim Report Status Update – F-13-003

Finding Origination	Progress Indicator
30 June 2011	Progress Observed
<p>F-13-003(a). Progress Observed. <i>This sub-finding will be sufficiently remediated when IV&V confirms improved [AGENCY NAME] logging procedures and monitoring controls are in place for the [PROJECT NAME] system</i></p> <p>F-13-003(b). No Progress Observed. <i>This sub-finding will be sufficiently remediated when IV&V can confirm risk analysis and assessment exercises were performed and included the [PROJECT NAME] SAP system for vulnerabilities and penetration.</i></p> <p>F-13-003(c). No Progress Observed. <i>This sub-finding will be sufficiently remediated when an updated [PROJECT NAME] Security Plan is completed by the [PROJECT NAME] Team and received by IV&V.</i></p>	



4.6

APPENDIX F – CMMI VALUE ADD



SES CMMI VALUE-ADD BENEFITS

SOFTWARE ENGINEERING SERVICES IS A FULL SERVICE CMMI PROVIDER



SES is one of the leading CMMI Implementation Provider in the US. We have been providing CMMI services for over 20 years. We have provided CMMI services to more than 100 Organizations.

Organizations include Internal Revenue Services, US Air Force, Air Force Weather Agency, US Army, Union Pacific, Mutual of Omaha, Michelin Corp., Compaq, Southwest Research Institute, Alabama Medicaid Agency, Iowa DHS, Blue Cross Blue Shield of Arkansas, Blue Cross Blue Shield of Rhode Island, Physician Mutual Insurance, and many others.

In addition to being a CMMI-DEV Level 3 organization (for last 12 years), we are a CMMI Institute Partner.



We have certified CMMI Appraisers, CMMI Instructors, and very experienced CMMI Consultants.

We provide the Industry on-going Forum with webinars, training, process templates, etc. in CMMI, PMI, ITIL, Agile and many other processes services and system development models at www.cmmimarketplace.com at NO COST to individuals in the US, Canada, India and South America.

Some of our Key CMMI services include:

- Authorized CMMI Institute CMMI Training
- CMMI Organizational Capability Assessments
- CMMI Process Automation Services
- CMMI-DEVELOPMENT Process Implementation Services
- CMMI Appraisal Preparation Services
- Organizational Customized CMMI Training
- CMMI Appraisal Services
- CMMI Appraisal Roadmap Planning
- CMMI-DEVELOPMENT Process Implementation Services
- CMMI Re-certification Services

As a Client, SES would provide Nebraska MLTC no-cost CMMI Value-Add services such as general CMMI training, Organizational Assessment, Process Implementation and Roadmap Planning to CMMI Level 2 and/or CMMI Level3. We are the only full service IV&V provider that has the capability to move your organization to CMMI L2 and/or L3 in both the CMMI-DEVELOPMENT and CMMI-SERVICES Models. More details regarding our CMMI Value-Add services will be provided upon request.

SES CMMI Appraisal Services

"The Quality of your Systems and Services is only as good as the PROCESSES that support them. Let SES assist you in your journey to becoming & sustaining a Superior World Class Organizational Performance Capability".

Description

SES offers professional Capability Maturity Model Integration V1.3 (CMMI V1.3) Appraisals using the Standard CMMI Appraisal Method for Process Improvement (SCAMPI™A V1.3) from the CMMI Institute. SES has two CMMI Institute Certified SCAMPI Lead Appraisers (SLAs) who are professionally qualified. SES is also certified by the CMMI Institute to train staff from your organization to participate on a SCAMPI A (as internal SCAMPI Team Members) with Introduction to the CMMI training. SES has one professionally certified trainer for this purpose. SES will work with an Organizational Sponsor who wishes to have SCAMPI services for the Organization and will own final appraisal findings.

Phases/Steps for CMMI Appraisal Services and Deliverables

The following is an overview of the required steps to conduct a SCAMPI A appraisal and related deliverables. (ref. SCAMPI Method Description Document)

Phase Process Step - Brief Description

1: Plan and Prepare for Appraisal

There is an initial discussion between ATL and Organizational Sponsor about Organizational Demographics and SCAMPI Goals. A long term strategy for the appraisal is considered.

1.1 Analyze Requirements

The requirements necessary to cover organizational scope, and meet requirements for SCAMPI conduct are considered.

1.2 Develop Appraisal Plan

An Appraisal Plan is developed to ensure there is proper Organizational Unit coverage.

1.3 Select and Prepare Team

The Appraisal Team Members are considered, selected, and formally trained. Any schedule conflicts are resolved.



1.4 Obtain and Inventory Initial Objective Evidence

The evidence to be considered from the organization is obtained, identified, and inventoried.

1.5 Prepare for Appraisal Conduct

A schedule for appraisal conduct is developed; the interview participants from the Organization are selected and notified and any schedule conflicts are resolved.

2: Conduct Appraisal

Appraisal execution is conducted.

2.1 Prepare Participants

All participants are prepared and informed about appraisal ground rules and appraisal scope. This includes interview rules for non-attribution and confidentiality.

2.2 Examine Objective Evidence

The Appraisal Team examines and evaluates the evidence.

2.3 Document Objective Evidence

Appraisal team documents evidence it has reviewed and its status.

2.4 Verify Objective Evidence

Appraisal team verifies evidence has been reviewed per SCAMPI rules using consensus.

2.5 Validate Preliminary Findings

Appraisal team validates its preliminary findings with interviewees for fidelity.

2.6 Generate Appraisal Results

Appraisal crafts final findings (and possibly maturity ratings if desired).

3: Report Results

3.1 Deliver Appraisal Results

ATL delivers final appraisal findings to organization.

3.2 Package and Archive Appraisal Assets

ATL delivers Appraisal Package to CMMI Institute, appraisal team submits feedback.



SES CMMI Process Automation Capability

"The Quality of your Systems and Services is only as good as the PROCESSES that support them. Let SES assist you in your journey to becoming & sustaining a Superior World Class Organizational Performance Capability".

Description

SES offers Capability Maturity Model Integration V1.3 (CMMI V1.3) Process Automation Capability via its Process-Trak for CMMI tool. The tool can be configured for an organization to match its processes and necessary checkpoints, and reports, in its production or services lifecycles. This is done via Serena Business Mashups is the backbone in the development of collaborative applications.....one of these applications is called Process-Trak for CMMI, from SES. Serena Business Mashup workflows that SES created are called the Quality Review Mashup.

Process Automation Benefits

Among benefits and capabilities the tool offers are:

1. Reduced time to deploy Processes
2. Enhanced communication
3. Reduced re-work with Improved quality of project work products
4. Reduced time to develop standard reports - For project reporting, in general, Process Trak offers significant time reduction – experience shows about 18% to develop standard reporting at project and organizational level
5. Increased process compliance
6. Process-Trak for CMMI enforces activities and escalates issues not completed on-schedule
7. Reduced prep time for CMMI appraisal

The Process Management Premise and the CMMI

Adopting CMMI for process improvement.....(the Process Management Premise) indicates that using the CMMI for guidance in your process development approach helps you to build better software or to design better systems and should result in better overall business performance. Experience working with many companies that have adopted CMMI as the reference model has provided proof of their improved processes which has led to improved products and which, in fact, has led to better business performance overall with improved productivity, quality and time-to-



market. Today, when companies are doing whatever they can to stay ahead of their competition, that's an important business objective.

Whether you're working to incorporate Agile practices or whether you're looking for repeatable processes and targeting process improvement based on the CMMI today, the overall benefit must be to improve the way your company operates. The process is the "glue" which integrates your people, the technology, and the methods that your team is following.

The CMMI from the CMMI Institute offers several benefits itself, namely:

- The CMMI Offers Proven, Significant Business Advantages to Adopters* with:
- Lower Development Cost
- Schedule Improvement
- Higher Productivity
- Better Quality
- Greater Customer Satisfaction

All of which can makes your business more competitive!

Process-Trak Tool Automation Details

We chose Serena Business Mashups when we developed our Automated CMMI solution because it's very customizable. It is to change or adjust nearly everything in the application.

We named our Automated CMMI solution Process-Trak. It includes 37 workflows.....that map to each of the CMMI process areas and more.

Details:

- 37 workflows that map to each of the CMMI process areas
- Easily customized
- Maps, tracks and enforces workflow execution
- Includes comprehensive reporting with detailed audit trails – (over 100 reports)
- Integrated with a Process Asset Library (PAL)



SES CMMI Process Implementation Services

"The Quality of your Systems and Services is only as good as the PROCESSES that support them. Let SES assist you in your journey to becoming & sustaining a Superior World Class Organizational Performance Capability".

Description

SES offers professional Capability Maturity Model Integration V1.3 (CMMI V1.3) Implementation Services. SES has two CMMI Institute Certified SCAMPI Lead Appraisers (SLAs) who are professionally qualified to assist with implementing CMMI conformant processes. SES is also certified by the CMMI Institute to train staff from your organization for deeper CMMI understanding with official Introduction to the CMMI training. SES has one professionally certified trainer for this purpose. SES will work with an Organizational Sponsor and provided staff to achieve the targeted desired maturity level of conformant CMMI processes.

Phases/Steps for CMMI Implementation Services and Deliverables

The following is an overview of the required steps to conduct CMMI Implementation Services and related deliverables.

Phase Process Step - Brief Description

1.1 Plan and Prepare Process Implementation

There is an initial discussion between SES and Organizational Sponsor about Organizational Demographics and SCAMPI Goals. A long term strategy for process implementation is considered. Key staff members are introduced.

1.2 Analyze Requirements

The current organizational processes are analyzed by SES to determine gaps relative to desired CMMI conformant processes

1.3 Develop Implementation Plan

An Implantation Plan is developed to ensure there is proper Organizational Unit support for necessary process ownership with designated team members as owners who are knowledgeable in each process domain.

1.4 Prepare and Establish Organizational Process Ownership and Improvement Infrastructure



Leading team members from key process domains are selected for the Improvement Process Group (IPG) to have oversight as process improvement proceeds. SES will have regular interaction with the PIG in scheduled meetings to track progress and make issues visible.

1.5 Improve or Establish Other Key Organization Infrastructure Roles

Other key organizational roles are established, including Quality Assurance, Configuration Management, Project Management, and Measurement and Analysis.

1.6 Select and Prepare order of Implementation

The order for process implementation per plan is followed, working with designated organization process owners. Designated process owners selected and formally trained. Any schedule conflicts for participation are resolved.

1.7 Implement Processes

Processes are implemented in partnership with SES and organizational process owners. Conformance with CMMI and alignment with actual organizational business conduct is considered for each process implemented. All processes are implemented in accordance with the targeted CMMI maturity level.

1.8 Implement Process Training

Training for each process is developed with slides and course handouts. This is done by process owners with SES assistance as required.

1.9 Deploy Process Training and Associated Processes

Organizational team members are trained about new processes by process owners. New processes are distributed. A Process Assets Library is established for maintaining process assets and revisions.

1.10 Prepare for SCAMPI Appraisal Conduct (optional, if desired)

If the organization desires, a schedule for appraisal conduct is developed; the interview participants from the Organization are selected and notified and any schedule conflicts are resolved.

SES CMMI Training Services

"The Quality of your Systems and Services is only as good as the PROCESSES that support them. Let SES assist you in your journey to becoming & sustaining a Superior World Class Organizational Performance Capability".

Description

SES offers professional Capability Maturity Model Integration V1.3 (CMMI V1.3) Training. This is the official, three-day course, from the CMMI Institute, the *CMMI Introduction to the CMMI-Dev (V1.3)*. SES has a CMMI-Institute professionally certified instructor to teach this course. The course can be taught at a client's site or at our SES headquarters in the Omaha, NE area.

The course is a prerequisite for anyone who wishes to participate as a team member on a Standard CMMI Appraisal Method for Process Improvement (SCAMPI™A V1.3) from the CMMI Institute. The course covers material from the provided book *CMMI Third Edition: Guidelines for Process Integration and Product Improvement*. To reinforce learning, class notebooks are provided, with all official CMMI Institute course slides and relevant exercises. For the course, SES provides additional CMMI concepts summary slides as a bonus. Upon successful completion, students receive an official course completion certificate.

This class is required for anyone to serve on formal CMMI appraisal teams, and should be attended by:

- Anyone involved in CMMI-based improvement initiatives (e.g., members of Engineering Process Groups).
- Candidate appraisal team members, regardless of the appraisal's level of formality. (A typical appraisal team is composed mostly of your own employees. See pages 81-85 of the SCAMPI Method Definition Document for guidance on selecting team members.)
- People wanting to take other courses for which this is a pre-requisite (e.g., Services Supplement for CMMI).
- Anybody else interested in learning more about the CMMI. Several executives of small-to-medium-sized companies have attended our class, to ensure they realize what their company might be getting into. (SES believes that's an excellent idea!)

Course Learning Goals



By the end of the course, you should be able to:

- Understand exactly what it means to be Maturity Level 2 or 3... and beyond.
- Discuss each of the 22 process areas in the model (Requirements Development, Project Planning, etc.)
- Describe the components of the CMMI (goals, practices, required vs. expected components, etc.) and how they work together
- Know where to find information in the model
- Know how to get started!

Content Outline for Introduction to the Certified Introduction to CMMI-DEV V1.3 Training

1. Introduction
2. Process Improvement Concepts and CMMI
3. Overview of CMMI Model Components
4. Model Representations and Generic Goals and Practices
5. Product Development Process Areas, Part I
6. Managing the Project
7. Project and Organizational Support
8. Product Development Process Areas, Part 2
9. Improvement Infrastructure
10. High Maturity
11. Tying It All Together
12. Summary

******SES also offers customized CMMI based training to suit your company's requirements******



SES SCAMPI Preparation Services

"The Quality of your Systems and Services is only as good as the PROCESSES that support them. Let SES assist you in your journey to becoming & sustaining a Superior World Class Organizational Performance Capability".

Description

SES offers professional Standard CMMI Appraisal Method for Process Improvement (SCAMPI™A V1.3) Preparation Services. The preparation follows the procedure as outlined in the SCAMPI Method Definition Document from the CMMI Institute. It is designed to ready a client organization for a formal SCAMPI appraisal based on the Capability Maturity Model Integration V1.3 (CMMI V1.3). SES will work closely with an Organizational Sponsor who wishes to have SCAMPI Appraisal services for the Organization and will own final appraisal findings.

SCAMPI is Data intensive and can use various tools for Appraisal-related evidence, including a Practice Implementation Indicator Descriptor (PIID) which serves as a cross-reference between evidence artifacts and CMMI Process Area (Specific and Generic) Practices (SP, GP). Verification and validation of appraisal evidence is conducted by appraisal team review of documents and interviews of key organizational team members from various process domains. SES has two CMMI Institute Certified SCAMPI Lead Appraisers (SLAs) who are professionally qualified to conduct professional SCAMPI Preparation Services.

SES is also authorized by the CMMI Institute to provide Appraisal Team Training (ATT) for staff from your organization to participate on a SCAMPI A (as internal SCAMPI Team Members).

Phases/Steps for SCAMPI Preparation Services and Criteria

The following is an overview of the required steps and criteria to prepare for a SCAMPI A appraisal and related deliverables. (ref. SCAMPI Method Description Document)

Phase Process Step - Brief Description

1.1 Data Readiness

This step is foundational and includes these sub-steps:



- a. PIID has at least one appropriate artifact for 90% of all SPs and GPs.
- b. Processes/Procedures and Artifacts are accessible by the team or have been made available to the team.
- c. Artifacts appear to be appropriate for the practice they intend to satisfy.

1.2 Appraisal Team Readiness

Sub-steps:

- a. Appraisal Team Members have completed ATT and have a good understanding of the appraisal method and (data evidence) characterization rules.
- b. Appraisal Team Members are able to work together in mini-teams and as a whole.
- c. Appraisal Team has reviewed and agrees with the Appraisal Plan.
- d. Appraisal Team has a good understanding of the organizational context and much of the terminology of the organization.
- e. There are no conflict of interest with appraisal team members and projects assigned to each mini-team.

1.3 Logistics Readiness

Sub-steps:

- a. Adequate size rooms with appropriate power and internet/network connections have been scheduled and are available for the appraisal team, all briefings, and all interviews.
- b. Computer projection equipment is available for the opening briefing, draft findings reviews, final briefing, and for use by each mini-team.
- c. Appraisal team members have appropriate building and network access (as required).
- d. Participants have been identified, notified of their interview times and locations, and will be available.

1.4 Other items to be considered, including any action items to become ready.

SES SCAMPI Re-certification Services

"The Quality of your Systems and Services is only as good as the PROCESSES that support them. Let SES assist you in your journey to becoming & sustaining a Superior World Class Organizational Performance Capability".

Description

SES offers professional Standard CMMI Appraisal Method for Process Improvement (SCAMPITMA V1.3) Re-certification Services. Re-certification is required every three years under SCAMPI Appraisal rules to maintain a current maturity level rating. The CMMI Institute is providing the new SCAMPI M ("M" = Maintenance) appraisal method, which is designed for organizations that want to extend their current SCAMPI A-determined maturity/capability ratings for two years. It can only be used by organizations that are very stable in terms of both structure and types of work. In addition, the organizational and model scope can decrease from the previous SCAMPI A, but cannot increase.

If a qualified maturity level 3-5 organization uses the SCAMPI M method, they can expect to incur about 1/3 of the cost and disruption of undergoing a comparable SCAMPI A; maturity level 2 organizations will probably save less. The savings accrue from using a smaller appraisal team – as few as two members – and the approach used to sample the model scope (more on this below).

In addition, should the organization "fail" their SCAMPI M appraisal, they have a four month window in which they can generate and execute an action plan to remediate the weaknesses and validate the results. If successfully completed, the two year extension is provided; if they are not successful, or do not choose to generate an action plan, their existing maturity/capability ratings are revoked.

Overview of the SCAMPI M Method

A SCAMPI M appraisal is conducted in two Stages. The primary purpose of Stage 1 is to determine the "model sample scope" for Stage 2. The model sample scope must include at least 1/3 of the applicable specific goals and at least 1/3 of the applicable generic practices.

In Stage 1, specific goals and generic practices are analyzed to identify areas of concern. This analysis is conducted by reviewing high leverage artifacts; interviews may, but need not, be conducted. Specific goals and generic practices identified for inclusion in Stage 2 in this manner are referred to as the "investigative sample."



In addition to the investigative sample, at least two specific goals must be put in the model sample scope by random selection. Furthermore, there may be conditions that lead to specific goals or generic practices being put in scope "automatically." For example, if the baseline (previous) SCAMPI A appraisal was conducted using CMMI-DEV v1.2, any specific goal that changed significantly in v1.3 would automatically be put in scope for Stage 2. In addition, the appraisal sponsor may request that additional specific goals and/or generic practices be put in the model sample scope for evaluation in Stage 2.

The evaluation of the model sample scope performed in Stage 2 is essentially the same as that performed in the current SCAMPI A method: objective evidence is evaluated for each practice, practices are characterized, and specific goals are rated. Generic goals are not rated, but professional judgment is used to determine if weakness in the generic practices result in a process area being rated "Unsatisfied."

Preparation for Re-certification

The preparation follows the procedure as outlined in the SCAMPI Method Definition Document from the CMMI Institute. It is designed to ready a client organization for a SCAMPI appraisal based on the Capability Maturity Model Integration V1.3 (CMMI V1.3). SES will work closely with an Organizational Sponsor who wishes to have SCAMPI Appraisal services for the Organization and will own final appraisal findings. SCAMPI is Data intensive and can use various tools for Appraisal-related evidence, including a Practice Implementation Indicator Descriptor (PIID) which serves as a cross-reference between evidence artifacts and CMMI Process Area (Specific and Generic) Practices (SP, GP). Verification and validation of appraisal evidence is conducted by appraisal team review of documents and interviews of key organizational team members from various process domains. SES has two CMMI Institute Certified SCAMPI Lead Appraisers (SLAs) who are professionally qualified to conduct professional SCAMPI Preparation Services.

SES is also authorized by the CMMI Institute to provide Appraisal Team Training (ATT) for staff from your organization to participate on a SCAMPI A (as internal SCAMPI Team Members). For further details please see the SES briefing *About SES SCAMPI Preparation Service*.



4.7 APPENDIX G – LETTER OF GOOD STANDING

STATE OF NEBRASKA

United States of America, } ss.
State of Nebraska }

Secretary of State
State Capitol
Lincoln, Nebraska

I, John A. Gale, Secretary of State of the
State of Nebraska, do hereby certify that

SOFTWARE ENGINEERING SERVICES CORPORATION

**incorporated on August 21, 1992 and is duly incorporated under the law of
Nebraska;**

**that no occupation taxes due from and assessable against the Corporation are
unpaid and have become delinquent;**

**that no annual or biennial report required to be forwarded by the
Corporation to the Secretary of State has become delinquent;**

that Articles of Dissolution have not been filed.

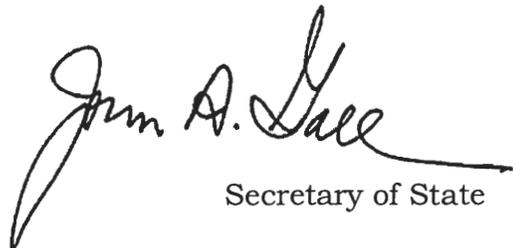
*This certificate is not to be construed as an endorsement,
recommendation, or notice of approval of the entity's financial
condition or business activities and practices.*

In Testimony Whereof,



I have hereunto set my hand and
affixed the Great Seal of the
State of Nebraska on this date of

March 29, 2016


Secretary of State



4.8

APPENDIX H – CERTIFICATE OF INSURANCE



CERTIFICATE OF LIABILITY INSURANCE

OP ID: LL

DATE (MM/DD/YYYY)

05/16/2016

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

PRODUCER Davis Insurance Agency, Inc. 1313 Cuming Street Omaha, NE 68102 Dick C. E. Davis/Lisa Davis		CONTACT NAME: Lisa L Laday-Davis PHONE (A/C, No, Ext): 402-399-9090 FAX (A/C, No): 402-399-2785 E-MAIL ADDRESS: lisa.davis@daviscompanies.com PRODUCER CUSTOMER ID #: SOFTW-1	
INSURED Software Engineering Services RFP 5252 Z1 Esper Smith 1311 Fort Crook Road South Bellevue, NE 68005		INSURER(S) AFFORDING COVERAGE NAIC # INSURER A : Chubb Group of Insurance Comp. 41386 INSURER B : Federal Insurance Company INSURER C : INSURER D : INSURER E : INSURER F :	

COVERAGES**CERTIFICATE NUMBER:****REVISION NUMBER:**

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL INSR	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS	
A	GENERAL LIABILITY	X		3592-20-33	07/01/2015	07/01/2016	EACH OCCURRENCE \$ 1,000,000	
	<input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY						DAMAGE TO RENTED PREMISES (Ea occurrence) \$ 1,000,000	
	<input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR						MED EXP (Any one person) \$ 10,000	
							PERSONAL & ADV INJURY \$ 1,000,000	
							GENERAL AGGREGATE \$ 2,000,000	
							PRODUCTS - COM/POP AGG \$ 2,000,000	
							\$	
B	AUTOMOBILE LIABILITY			7355-80-02	07/01/2015	07/01/2016	COMBINED SINGLE LIMIT (Ea accident) \$ 1,000,000	
	<input checked="" type="checkbox"/> ANY AUTO						BODILY INJURY (Per person) \$ 500,000	
	<input type="checkbox"/> ALL OWNED AUTOS			BODILY INJURY (Per accident) \$ 500,000				
	<input type="checkbox"/> SCHEDULED AUTOS			PROPERTY DAMAGE (PER ACCIDENT) \$ ACV				
	<input checked="" type="checkbox"/> HIRED AUTOS			\$				
<input checked="" type="checkbox"/> NON-OWNED AUTOS	\$							
A	<input checked="" type="checkbox"/> UMBRELLA LIAB <input checked="" type="checkbox"/> OCCUR			7984-82-35	07/01/2015	07/01/2016	EACH OCCURRENCE \$ 2,000,000	
	<input type="checkbox"/> EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE						AGGREGATE \$ 2,000,000	
	<input type="checkbox"/> DEDUCTIBLE						*See Note \$	
	<input checked="" type="checkbox"/> RETENTION \$ 10,000						\$	
A	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY	Y/N	N/A	X	7175-05-29	07/01/2015	07/01/2016	<input checked="" type="checkbox"/> WC STATUTORY LIMITS <input type="checkbox"/> OTHER
	ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH)							E.L. EACH ACCIDENT \$ 1,000,000
	If yes, describe under DESCRIPTION OF OPERATIONS below							E.L. DISEASE - EA EMPLOYEE \$ 1,000,000
A	PROFESSIONAL LIAB			3592-20-33	07/01/2015	07/01/2016	E.L. DISEASE - POLICY LIMIT \$ 1,000,000	
							AGGREGATE 2,000,000	

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (Attach ACORD 101, Additional Remarks Schedule, if more space is required)

Certificate for RFP 5252 Z1,

Upon contract award, the Umbrella Coverage will be increased to \$5M and a new certificate will be issued. Higher Umbrella Limits require a contract in place.

CERTIFICATE HOLDER**CANCELLATION**

STATEN6

State of Nebraska
 Administrative Services
 State Purchasing Bureau
 1526 K Street, Suite 130
 Lincoln, NE 68508

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.

AUTHORIZED REPRESENTATIVE

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