

Data Management and Analytics (DMA) RFP 5330Z1 - Appendix A – Statement of Work

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I. General

The State of Nebraska, Administrative Services (AS), Materiel Division, State Purchasing Bureau is issuing this Request for Proposal (RFP) to procure a Contractor to implement and operate a data management and analytics (DMA) solution for the Department of Health and Human Services (DHHS) Medicaid and Long-Term Care (MLTC) Medicaid enterprise. It is possible that, at a future date, DHHS may wish to use the implemented solution to support other programs as DHHS encompasses multiple health and human services programs that may benefit from the solution. This Appendix A – Statement of Work describes the State’s requirements for the solution and provides background information on the Nebraska Medicaid program.

A. Background Information

1. Department of Health and Human Services (DHHS) Overview

DHHS is comprised of six divisions:

- a. The Division of Behavioral Health provides funding, oversight, and technical assistance to the six local behavioral health regions. The regions contract with local programs to provide public inpatient, outpatient, emergency, community mental health, and substance use disorder services.
- b. The Division of Children and Family Services administers child welfare, adult protective services, economic support programs, and the youth rehabilitation and treatment centers.
- c. The Division of Developmental Disabilities administers publicly-funded community-based disability services. The Division also operates several sites that provides services for individuals with developmental disabilities.
- d. Medicaid and Long-Term Care (MLTC) administers the Medicaid program, which provides health care services to eligible elderly and disabled individuals, and low income pregnant women, children and parents. The Division also administers non-institutional home and community-based services for qualified individuals, the aged, adults and children with disabilities, and infants and toddlers with special needs.
- e. The Division of Public Health is responsible for preventive and community health programs and services. It also regulates and licenses health-related professionals, health care facilities, and services.
- f. The Division of Veterans’ Homes oversees the States’ veterans’ homes located in Bellevue, Norfolk, Grand Island, and Scottsbluff.

2. Medicaid and Long-Term Care (MLTC)

MLTC provides health care coverage for approximately 230,000 individuals, at an annual cost of approximately \$1.8 billion. Currently, the program is administered through a fee-for-service (FFS) and regional risk-based managed care model. However, by the time the DMA is implemented, MLTC will have implemented Nebraska’s new statewide managed care program, Heritage Health, for physical, behavioral, and pharmaceutical services. Specifically, Heritage Health will:

- a. Integrate physical and behavioral health managed care through at least two and no more than three managed care organizations (MCO) contracts for all 93 counties in Nebraska.
- b. Include pharmacy services in the benefit package and the MCO capitation rate, at a date to be determined by MLTC.
- c. Include, for physical and behavioral health services, the aged, blind, and disabled populations who are dually eligible for Medicare and Medicaid, in a home and community-based services (HCBS) waiver program, or living in an institution, in managed care.

3. Current Technical Environment

The technical environment for DHHS is developed, managed, and maintained by two organizations:

- a. Information Systems and Technology (IS&T) Division: IS&T administers the Department's computer resources. This Division provides support for feasibility studies; system design and development; system maintenance; computer hardware acquisition, installation, and maintenance; network acquisition, coordination, installation, and maintenance; and system project management, including for Nebraska’s Medicaid Management Information System (MMIS).
- b. Nebraska Department of Administrative Services (DAS), Office of the Chief Information Officer (O-CIO): O-CIO administers the State’s data center. IS&T purchases staffing and computing resources from the O-CIO, and collaborates with the O-CIO to manage, operate, and maintain MMIS.

c. **DHHS Desktop, Server, and Network Environment**

The DHHS technical environment includes approximately 6,000 desktop computers, 340 servers, and 700 networked printers spanning 150 local area networks (LANs) across the State.

IS&T shares management of a private DHHS T1 wide area network operating within the State's private wide area network backbone. Business broadband virtual private networks (VPNs) are also used. IS&T manages the 150 DHHS LANs. The private DHHS network operates behind a departmental firewall and an O-CIO enterprise firewall. Limited Wi-Fi network accessibility to the internet is supported and cellular data network accessibility via laptops and tablet PCs is in the testing/pilot stage. 100Mb full duplex to the desktop is supported as standard at many sites; GB to the desktop is available to support special needs.

Server management includes a single Windows 2003 server production domain running Active Directory in native mode. IS&T manages 340 servers at 115 sites across the State, providing 6,000 DHHS staff with authentication and access to the DHHS network, print services, databases, mainframe services, internet, e-mail, and other networked resources. Servers are monitored for hardware malfunction and performance 24 hours a day/7 days a week with automated problem notification in the form of e-mails and pages.

Desktop management provided by IS&T includes the automated delivery and installation of all operating systems (OS) and OS updates, software, and all software updates. Software updates are delivered to the desktops nightly using the DHHS private network. Desktops are locked down to the user community (they do not have administrative rights). Desktop C:\ drive is not used for storage of production data and is not backed up. Desktops currently run Windows 7 enterprise, but planning is underway to move to Windows 10. Locally connected modems or other network devices that would create a backdoor to the DHHS private network are prohibited. DHHS uses MS Outlook for e-mail and calendaring.

The State data center in Lincoln currently houses a wide variety of computing and telecommunications platforms including high speed fiber switches, Linux and Windows servers, IBM iSeries processors, and three mainframe computers. The primary mainframes, IBM z-900 models 103 and 104, support the State's enterprise class data processing requirements for high-volume storage and computing.

d. **DHHS Applications Environment**

The DHHS applications portfolio was developed across its divisions, which resulted in an applications environment that is disparate and heterogeneous. The portfolio ranges from small custom-built applications to large, mission-critical, enterprise-scale applications; it includes commercial off-the-shelf (COTS) solutions, some of which have been customized. The portfolio also includes three large, custom developed and State-maintained applications:

- i. Nebraska Family Online Client User System (N-FOCUS) is an integrated client/server system that automates benefit and service delivery and case management for over 30 Nebraska human services programs, including Aid to Dependent Children (ADC), Medicaid, and child welfare. N-FOCUS functions include client/case intake, eligibility determination, case management, service authorization, benefit payments, claims processing and payments, provider contract management, and government and management reporting. N-FOCUS interfaces with MMIS and other private, State, and Federal organizations. N-FOCUS was implemented in 1996 and today is operational statewide.
- ii. Nebraska's Children Have A Right To Support (CHARTS) child support system includes case initiation, location, establishment, case management, enforcement, financial management, and government and management reporting. CHARTS interfaces with the existing MMIS and other State and Federal agencies. CHARTS was implemented in 1997 and was Federally-certified in January 2004.
- iii. Nebraska's MMIS technical architecture was developed in 1973. MMIS has been fully operational since 1978 and became Health Information Portability and Accountability Act of 1996 (HIPAA)-compliant in October 2003. The current

MMIS data architecture is a mix of flat files, HIPAA server databases, and relational DB2 mainframe databases (RDMS) comprised of 14 DB2 databases and 633 tables.

- e. The Nebraska MMIS consists of the following 15 subsystems:
- i. **Data Management** – DHHS contracts with Truven Health Analytics (Truven) for data management. This subsystem houses 72 months (currently being expanded to 120 months) of Medicaid claims and provider and client information for management reporting, including the Management and Administrative Reporting Subsystem (MARS), Surveillance & Utilization Review Subsystem (SURS) and Transformed Medicaid Statistical Information System (T-MSIS) reporting.
 - ii. **Drug Claims Processing** – DHHS contracts with Magellan Health (Magellan) for point of sale (POS) payment of claims via MMIS. Magellan is also responsible for all drug claims and rebate processing, prospective drug utilization review (Pro-DUR), and support of the retrospective DUR (Retro-DUR), which is currently contracted through the Nebraska Pharmacists Association (NPA). The POS system supports National Council for Prescription Drug Programs (NCPDP) standards.
 - iii. **Management and Administrative Reporting Subsystem (MARS)** – Truven provides the MARS functionality and reports to DHHS.
 - iv. **Medicaid Drug Rebate (MDR)** – DHHS uses a PC-based extract from MMIS claims history to prepare quarterly invoices for drug rebates from manufacturers. Magellan is responsible for the preparation and distribution of these invoices.
 - v. **Medical Claims Processing (MCP)** – The MCP subsystem edits and calculates reimbursement amounts for medical goods and services provided to Medicaid clients by approved providers.
 - vi. **Medical Non-Federal (MNF)** – This subsystem ensures that Medicaid Federal matching funds are not used to pay for health care services payable by Medicare.
 - vii. **Medical Provider Subsystem (MPS)** – The MPS maintains demographic, eligibility, and licensing data for all enrolled Medicaid providers. The existing MMIS houses provider files utilized for claims processing. DHHS contracts with Maximus for provider screening and enrollment. The Maximus system interfaces with the provider subsystem within MMIS.
 - viii. **Nebraska Disability Program (NDP)** – This subsystem accounts for the separate funding of health care services for disabled persons who do not meet the Supplemental Security Income (SSI) disability duration requirements, but are eligible for the same medical services as Medicaid.
 - ix. **Nebraska Managed Care System (NMC)** – NMC provides plan and PCP enrollment of Medicaid clients into the Nebraska Medicaid Managed Care Program (NMMCP). It documents communications between the client, the enrollment broker (EB), and the MCOs. The NMC is a rudimentary case management system.
 - x. **Nebraska Medicaid Eligibility System (NMES)** – NMES is an automated voice response system used to verify Medicaid or managed care eligibility for Nebraska Medicaid clients. It also supports the CHARTS system.
 - xi. **Recipient File Subsystem (RFS)** – RFS uses and maintains data obtained from N-FOCUS that pertains to the medical eligibility of each person enrolled in one or more DHHS programs.
 - xii. **Reference File Subsystem (RSS)** – A database of various reference information, including but not limited to, procedure, diagnosis, and drug codes; and fee schedules.
 - xiii. **Screening Eligible Children (SEC)** – This subsystem facilitates comprehensive, preventive health care, and early detection and treatment of health problems in Medicaid eligible children by producing Early and Periodic Screening, Diagnostic, and Treatment (EPSDT) program screening/treatment tracking and client outreach reports.
 - xiv. **SURS** – DHHS contracts with Truven for reports and tools to support the investigation of potential fraud, waste, or abuse (FWA), by Medicaid providers and clients, by analyzing historical data and developing profiles of health care delivery and service utilization patterns.

- xv. **Third Party Liability (TPL)** – This subsystem stores private insurance information for Medicaid clients and their family members, to prevent payment of claims that should be the responsibility of another insurer or to recover payments that were another insurer's responsibility.

B. MLTC's Vision, New Projects, and Procurements

1. MLTC's Vision

Medicaid managed care in Nebraska has steadily evolved since 1995, from an initial program that provided physical health benefits in three counties to today's program that oversees physical and behavioral health services statewide. Today, approximately 80% of individuals who qualify for Medicaid receive their physical health benefits through managed care and almost all Medicaid members receive managed care behavioral health benefits.

In October 2015, DHHS, MLTC released a RFP to select qualified MCOs to provide statewide integrated medical, behavioral health, and pharmacy services for Medicaid and Children's Health Insurance Program (CHIP) members through the Medicaid managed care delivery system. This program will be called Heritage Health.

Managed care was implemented in Nebraska to improve the health and wellness of Medicaid members by increasing their access to comprehensive health services in a cost-effective manner. As behavioral health services are added to the physical health delivery system, additional goals for all members include decreased reliance on emergency and inpatient levels of care by providing clients with evidence-based care options that emphasize early intervention and community-based treatment. MLTC also anticipates that integrated physical and behavioral health managed care will achieve the following outcomes:

- a. Improved health outcomes
- b. Enhanced integration of services and quality of care
- c. Emphasis on person-centered care, including enhanced preventive and care management services.
- d. Reduced rate of costly and avoidable care
- e. Improved financially sustainable system.

2. Medicaid Enterprise Vision and Roadmap

MLTC's vision for a new Medicaid enterprise is heavily influenced by the decreasing number of members in the Medicaid FFS program. MLTC plans to increase the population enrolled in managed care beginning in January 2017 to improve members' access to and quality of care as well as the program's cost effectiveness. With the gradual increase in managed care, it is estimated that future Medicaid FFS claim volume may decline to fewer than 100,000 claims per year.

MLTC's vision for the future includes using one of the State's MCOs to process the FFS claims. Claims broker services (CBS) is included in the scope of work for the Heritage Health MCO procurement. This DMA procurement will be the central analytical solution in support of the State's enterprise. Figure 1 represents MLTC's vision of the Target State. NOTE: Figure 1 is a reference of the MLTC vision model. It is not intended to imply any specific requirements of the DMA project.

NE MES - Topology

Target State

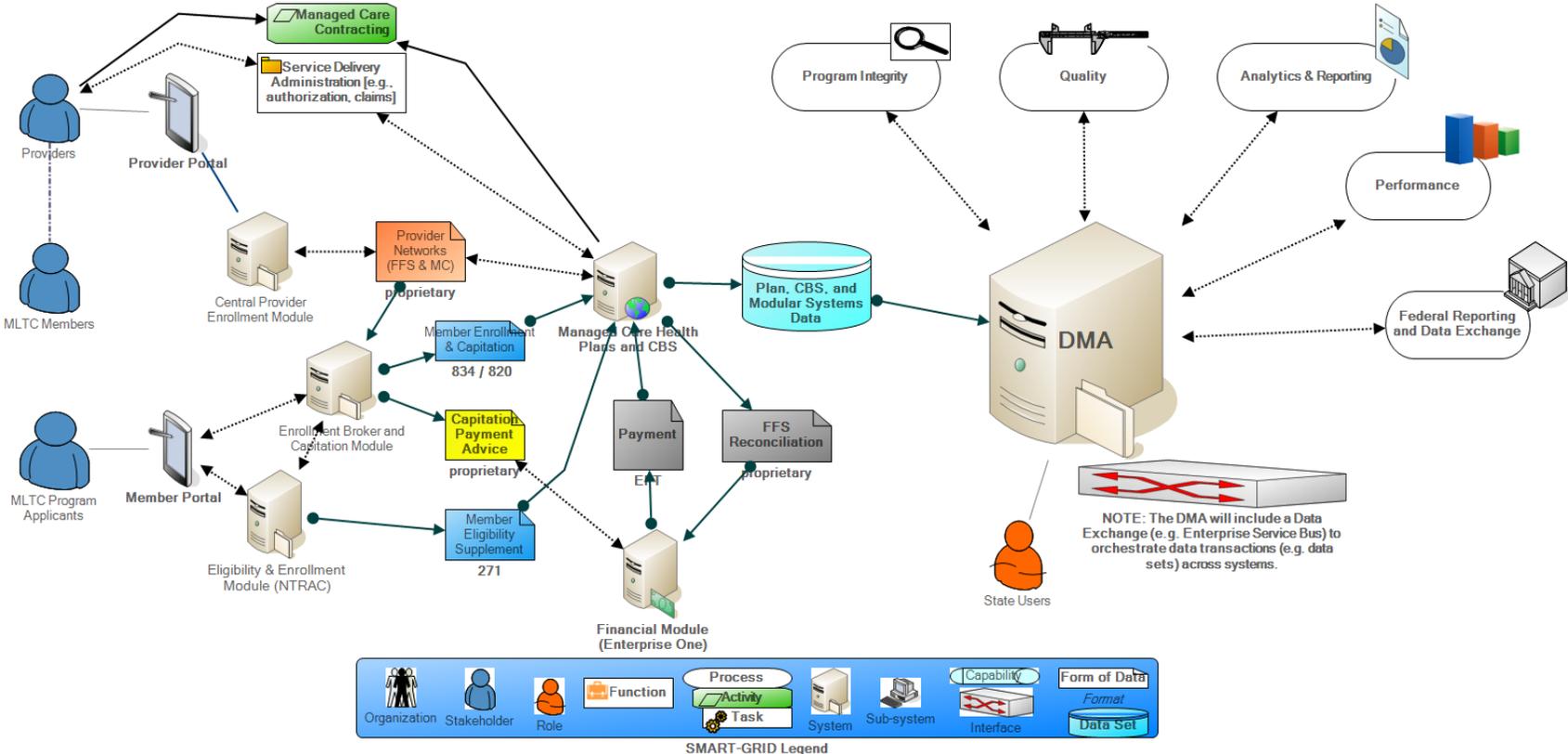


Figure 1 - Medicaid Enterprise Vision

In the Target State vision, providers will enroll in Medicaid through a central provider portal. Providers must be enrolled in Medicaid prior to contracting with a MCO. MCOs will contract with the Medicaid-enrolled providers to form a provider network and communicate the network enrollment information to the State and the DMA Contractor.

Medicaid applicants will apply online through a member portal or by a worker entering their information through the member portal. The member portal will interact with the eligibility and enrollment system (EES) module, Nebraska Timely, Responsive, Accurate, Customer Service (NTRAC) for eligibility and benefit plan determination and the Enrollment Broker and Capitation module for MCO and primary care provider selection as applicable. The Enrollment Broker and Capitation module will communicate MCO enrollment and capitation information to the appropriate MCO and FFS enrollment information to the CBS. NTRAC will communicate supplemental eligibility information not contained within an 834 enrollment file to the MCOs and CBS. Both modules will communicate data to the DMA Contractor.

The Enrollment Broker and Capitation module will communicate capitation payment information to the financial module (Enterprise One), which will issue the actual capitation payment. Enterprise One will communicate payment data to the DMA Contractor.

Providers will submit claims to the appropriate MCO for risk-based members enrolled in the MCO and to the CBS for FFS members. The CBS will pay the FFS claims and invoice the State for reimbursement. Reimbursement will be paid by Enterprise One. The MCOs and CBS will submit claims data to the DMA Contractor. The DMA Contractor will receive payment data from Enterprise One.

The DMA Contractor will receive data from all modules, existing systems, and Contractors to provide the holistic solution to support program integrity analytics and case tracking, quality measures and health outcome reporting for MCOs, program analytics and reporting, and required Federal reporting and data exchange.

Figure 2 represents the State's vision for the DMA Contractor, including interactions with example major systems and entities, as well as representative categories of data expected in the DMA solution.

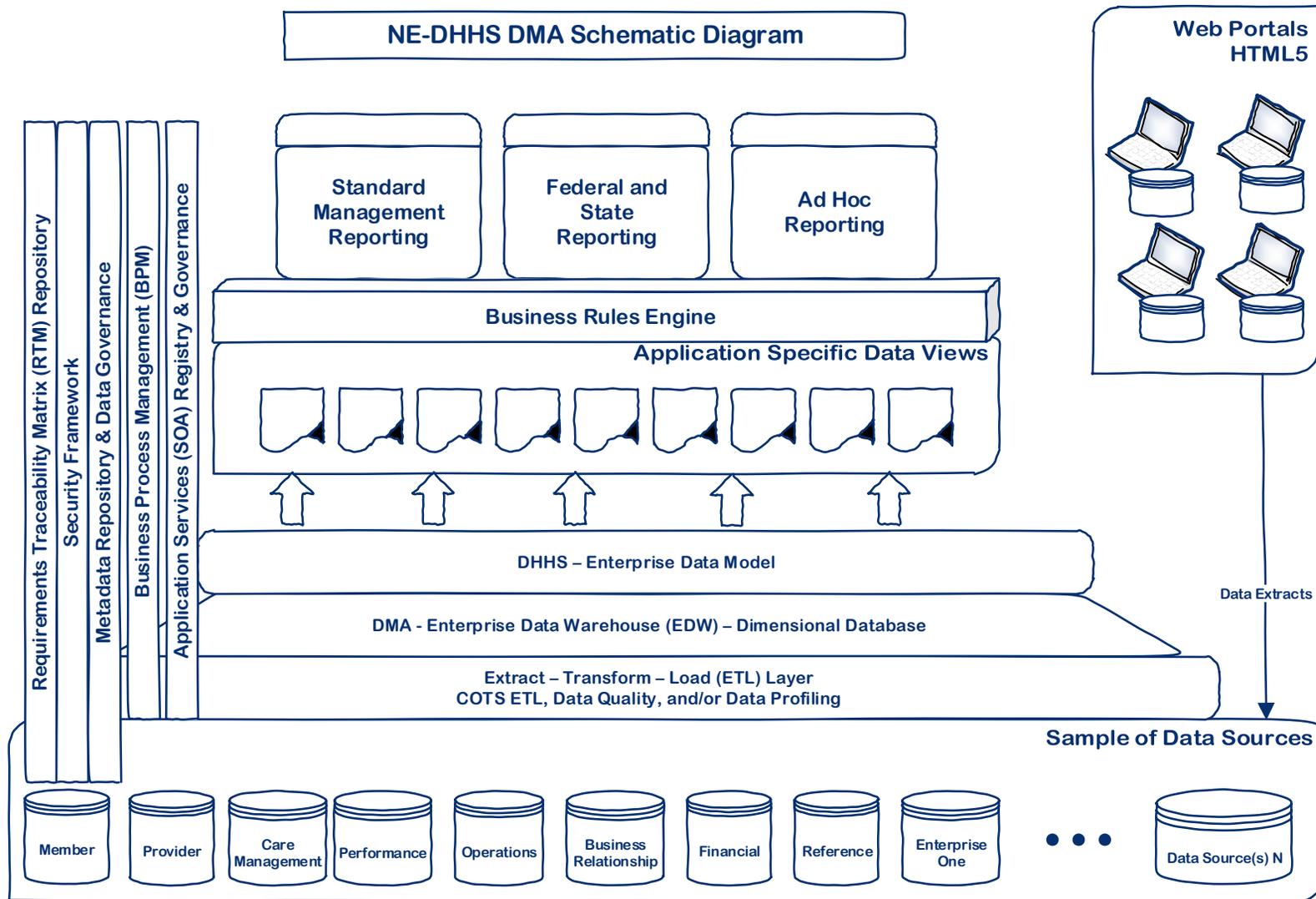


Figure 2 - Data Management and Analytics Vision

The State has several interdependent service and system initiatives in progress or planned to achieve its Medicaid enterprise vision. The preferred approach for achieving this vision is by managing these initiatives as a portfolio of projects with staged implementations that are governed by a single governance structure.

Phasing implementation of functionality requires integration of new modules with The State's existing systems until all new modules have been implemented. The State's goal is to meet its business functionality needs in the interim while lessening the impact of "throw away" modifications. The table below provides a current roadmap for achieving the enterprise vision.

#	Major Milestone	Description	Target Date
1	EB Implementation	This project will implement EB services (including MCO and PCP selection) into the legacy environment for managed care members. The EB RFP will include the services and functionality needed to achieve milestones 4 and 6.	09/01/2016
2	Heritage Health	This project will implement risk-based managed care for physical and behavioral health for most of Nebraska's Medicaid population.	01/01/2017
3	NTRAC Implementation	This project will implement Nebraska's new EES.	04/01/2017
4	Eligibility and Plan Selection Integration	The eligibility and plan selection processes will be integrated to support immediate enrollment in a MCO upon determination of eligibility. NTRAC's eligibility member portal will be integrated with the EB's MCO selection portal to provide a consistent end-user experience and single sign-on access.	07/01/2017
5	Dental Benefits Manager (DBM)	This project will implement risk-based managed dental care for most of Nebraska's Medicaid population. The selected DBM will also be asked to process any remaining dental FFS claims as the CBS.	07/01/2017
6	Capitation Processing Module	The capitation module procured during the EB RFP in milestone 1 will be implemented within the legacy environment.	12/31/2017
7	Central Provider Management Module	The new module for central provider management will be the system of record for provider enrollment data for the Medicaid enterprise.	TBD
8	DMA Module	When the new DMA module is implemented, encounter data will be submitted directly to it. The DMA module will interface with existing and new system modules and solutions.	09/30/2018
9	CBS – Professional, Institutional, and Pharmacy Claims	The selected CBS will process the remaining professional, institutional, and pharmacy FFS claims for all services, except long term services and supports (LTSS).	TBD
10	LTSS Redesign	This project will redesign MLTC's approach to delivery of and payment for LTSS.	TBD
11	CBS – LTSS	FFS claims for LTSS services will be paid by a CBS.	TBD

This roadmap represents the State's current plan. The above milestones have been scoped to allow flexibility for adapting the multi-year plan to meet the challenges that occur during numerous implementations. While the eleven (11) milestones are presented in a logical order for implementation, this order may change as implementation proceeds. However, the enterprise vision will not be achieved until all eleven (11) phases are completed.

3. Data Management and Analytics Procurement Scope

The scope of this procurement is to implement a Medicaid enterprise DMA solution that includes:

- a. Medicaid enterprise data warehouse
 - i. Management and Reporting Subsystem (MARS)
 - ii. Decision support system (DSS)
 - iii. Ad-hoc queries and reporting
 - iv. Federal reporting (CMS 64, 37, etc.)
 - v. MCO quality (including performance measures) reporting
 - vi. MCO encounter data processing including various MCO data (e.g. claims, authorizations, etc.)

- b. Program integrity
 - i. SURS
 - ii. Fraud and Abuse Detection System (FADS)
 - iii. Case management
- c. Reporting and analytics and program integrity staff augmentation

C. Project Governance

1. Overview

a. MMIS Project Governance

The State will establish the governance necessary to manage the implementation and integration of the MMIS modules, as well as those modules being implemented by other DHHS project teams. A sample governance structure is shown below. This model is provided as a sample, and may change based on the needs of the State.

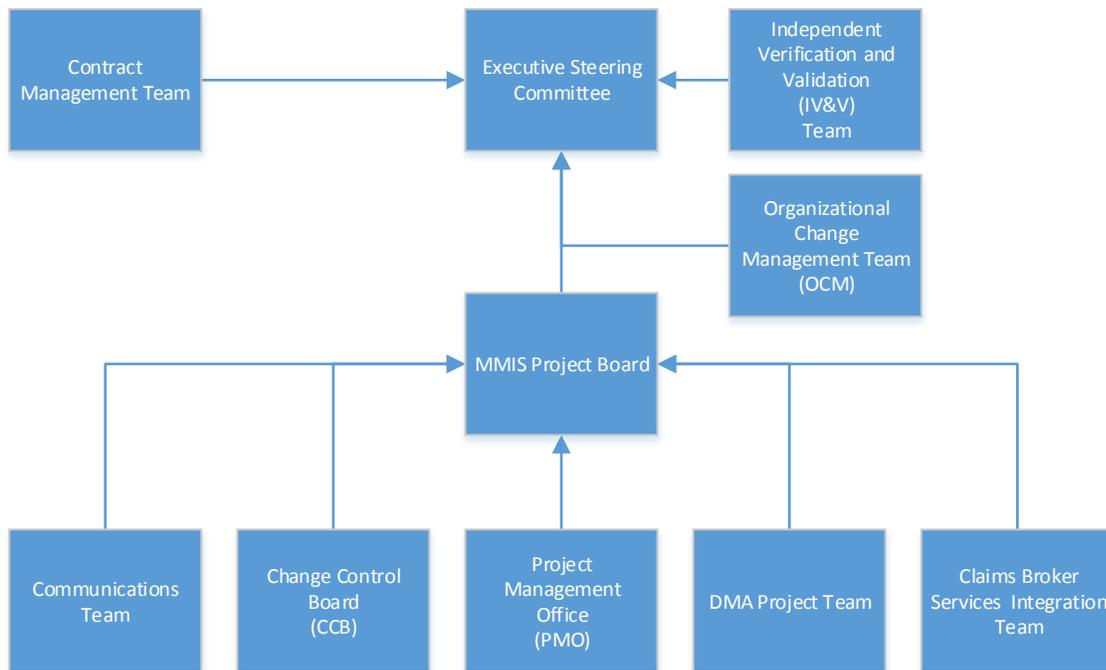


Figure 3 - Sample Governance Model

The anticipated roles and responsibilities of the above entities include:

- i. **Executive Steering Committee:** Provides oversight on and strategic direction to all projects. Establishes governance structure and makes governance changes when necessary. Approves project scope changes. Ensures staffing is available. Approves operating models for the project(s). Ensures project(s) funding and resources are available. Approves major changes that affect implementation dates. Approves Contractor deliverables based on MMIS Project Board recommendations.
- ii. **Contract Management Team:** Ensures that funding is available for the project. Tracks expenditures and overall general accounting for the project and approves deliverable payments. Manages the fund request and approval process to obtain and maintain CMS approval for funding. Monitors expenditures against the budget. Reports to Executive Steering Committee any adverse changes to budget or project expenditures.
- iii. **IV&V Team:** Provides independent assurance that the project is performing properly. Reports findings to the Executive Steering Committee. Is responsible

for ensuring that modules are ready for CMS certification and works with State staff and Contractors to ensure certification.

- iv. **OCM Team:** Responsible for overall organizational change management across the projects. This includes the restructuring/reassigning of project staff to address the projects' priorities and working with HR as necessary.
- v. **MMIS Project Board:** Manages the integration of the project modules and provides project oversight. Reviews open risks/issues and their respective mitigation plans. Reviews and approves CCB decisions. Oversees the integration strategy for modules.
- vi. **Communications Team:** Responsible for communications across DHHS and to external stakeholders.
- vii. **CCB:** Responsible for acceptance and categorization or rejection of all change requests. Ensures that each change request meets agreed upon criteria. Assesses impact of each change on the project, schedule, and budget. Approves and schedules each change based on priority. Refers rejected change requests to MMIS Project Board for concurrence. Coordinates implementation of approved changes.
- viii. **PMO:** Provides support to the project by maintaining/monitoring individual and integrated work plans. Monitors task completion activities and reports schedule deviations as early as possible to the MMIS Project Board. Ensures schedule changes are incorporated into the integrated master schedule (IMS). Provides overall project status to the MMIS Project Board. Facilitates project activities and workgroups as needed. Responsible for risk/issue management tracking.
- ix. **DMA Project Team:** Responsible for implementation and delivery of the DMA solution. Oversees all project deliverables, environments, IMS, etc. Ensures all requirements are identified, documented, tracked, validated, tested, and implemented. Responsible for all project training activities. Tracks all project related documents. Completes all quality assurance activities. Responsible for defect management.
- x. **CBS Integration Team:** Responsible for managing the implementation of CBS.

b. **DMA Project Team Governance**

The State will assign a contract manager or lead responsible for managing the DMA implementation. The role will be supported by the governance teams described above, such as the PMO, Communications, Finance, and other subject matter experts (SMEs). The Contractor is responsible for establishing a governance structure within the Contractor's organization to deliver the required solutions. Upon contract signing, the State will work with the Contractor to integrate the Contractor's governance structure into the project's governance structure.

2. **Requirements**

The Contractor must meet the following requirements:

ID	DDI Phase Overview
001	Must participate in the MMIS Replacement Project governance as required by the State.

3. **Proposal Response**

The bidder should respond to the following:

- a. Provide an overview of the bidder's governance structure and approach including staff roles and responsibilities.
- b. Describe the bidder's recommendations for integrating and establishing an enterprise governance structure that includes State staff, Contractors, and appropriate stakeholders.

II. Design, Development, and Implementation (DDI)

A. Phase Overview

1. Overview

The DDI phase covers the time period from project start-up until the required functionality as described in the operational phase is implemented and operational. The goal of this phase is to develop a system that must be certified by CMS. The State requires the Contractor to make informed decisions about how to bring future business, information, and technical architectures to higher levels of MITA maturity.

During the DDI phase, the Contractor is required to implement a solution and services that meet the requirements of the operational phase of the contract. The State's contract with its current data warehouse Contractor will expire on September 30, 2018. The DMA solution must have functionality in place to replace the functionality in the existing data warehouse / Decision Support System prior to that date. The State prefers a phased approach to meet that date and will allow for functionality beyond that scope to be implemented as much as thirty six (36) months from contract start date.

The general approach for this phase is to allow the bidder to propose its preferred approach to DDI for the State to evaluate. This allows the Contractor to perform within its proven methods rather than forcing the Contractor to conform to a prescribed method for completing DDI.

The State anticipates that the requirements described in this document can be met by a bidder's standard methods for solution implementation. The State requires the bidder to describe "how" the outcomes will be met. DHHS is not attempting to specify every possible activity, deliverable, or the content of deliverables necessary to achieve success on this contract. Bidders should not infer that the absence of detailed requirements means that the State does not consider a specific area or activity important or unnecessary. The State requires the bidder to propose solutions and services that meet its documented outcomes and requirements. DHHS requires the bidder to include all details in its proposal necessary to achieve or exceed the desired outcomes. This includes plans, requirements and deliverables necessary to meet the operational phase requirements. The State considers the DDI phase very important and will closely evaluate the completeness of the bidder's response.

2. Requirements

The Contractor must meet the following requirements:

ID	DDI Phase Overview
002	Must develop a realistic and achievable implementation plan with contingencies throughout rather than assuming the best possible outcome will always occur.
003	Must provide organizational change management support to the State throughout the DDI phase to prepare the State staff for major operational changes.

3. Proposal Response

The bidder should respond to the following:

- a. Discuss the bidder's plan and approach for DDI that will result in a successful implementation of the required solutions and services.
- b. Discuss how the approach has been successful with previous clients. Describe the bidder's approach to organizational change management and preparing users to embrace the change.

B. Project Management and Systems Development Life Cycle (SDLC)

1. Overview

Proven methodologies and standards, used to control all project activities, are crucial to the success of this project. The State requires that each bidder has established project management life cycle (PMLC) and SDLC processes and has integrated these life cycles into its organizational culture and projects of similar scope and size. The State is not dictating a specific PMLC or SDLC methodology or approach; it prefers that the bidder use an approach that has proved successful in the past. However, DHHS reserves the right to require a corrective action plan (CAP) or mandate

the approach be revised if it does not result in the completion of timely and quality project deliverables, or it affects the project's success.

2. Requirements

The Contractor must meet the following minimum requirements:

ID	Project Management Life Cycle and Software Development Life Cycle
004	Must manage all aspects of the project that affect cost, schedule, performance (scope and quality), risk/issues/opportunities, and resources that are under its control.
005	Must develop and put into practice a holistic project management plan or series of plans and associated integration(s), based on its proposed project management and SDLC methodologies.
006	Must seek, and obtain approval from the State, for a project schedule baseline for each plan or series of plans it develops based on its proposed project management and SDLC methodologies.
007	Must provide updated and compatible weekly extracts (or any other interval requested by the State) of its plan(s) to the State for import into Microsoft Project or CA Clarity. Extracts must include, at a minimum, tasks, start dates, completion dates, resource assignments, levels of effort, durations, dependencies, constraints, percent completion, milestones, variances from baselines, predecessors, and successors.
008	Must employ a proven project management approach promoting the development of a strong working relationship and facilitating open and timely collaboration between the State, the Contractor, other Contractors, and project stakeholders.
009	Must employ a proven project management approach ensuring the transparency of management actions and project results so that all parties remain properly informed.
010	Must lead coordination with all other organizations whose participation is necessary for project success. The State will reasonably support the Contractor's coordination efforts.
011	Must prepare and submit the integrated master schedule (IMS) that addresses each phase of the PMLC and SDLC and must identify all integration points between all Contractors and the State including interfaces, inputs, and outputs that the Contractor requires from other Contractors, the State, or other entities.
012	Within the IMS, must at a minimum decompose all tasks starting within a 120-day window into the future. This 120-day view should be maintained from month-to-month to provide an appropriate level of visibility for 120 days forward. Any task exceeding ten days in duration must be broken down to include subtasks detailing an appropriate level of work effort.
013	Must submit for review and approval by the State all changes to the approved project management plans and IMS.
014	Must use a commercial, off-the-shelf project planning software for building and maintaining the IMS. However, if it uses software other than Microsoft Project, Project Server, or Clarity, it must provide training for State project staff, provide a reasonable number of licenses for the State's designated use, and ensure compatibility with the State's computers.
015	Must provide all PMLC and SDLC deliverables included in the Contractor's proposed deliverable catalog in conformance with State provided templates, instructions, and procedures. Deliverables must be of the quality of provided examples used on previous projects. Any templates or forms developed during the course of the project must be submitted for review and approval by the State prior to their use.
016	Must perform work in accordance with the approved IMS timeframes.
017	Must complete and maintain a requirements traceability matrix.
018	Must provide a State approved Data Management Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.
019	Must provide a State approved Data Governance Plan that includes approach, strategy, methodology, process, tools, resourcing, quality and contingency aspects.
020	Must provide a State approved Master Data Management Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects. The plan must address integration with other State toolsets and support the State's standardization and processes.
021	Must provide a State approved Data Modeling Plan that includes strategy, methodology, process, tools, resourcing, quality and contingency aspects.
022	Must provide, implement, and maintain a State approved Data Integration Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.
023	Must provide a State approved Data Sharing Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.

ID	Project Management Life Cycle and Software Development Life Cycle
024	Must provide, implement, and maintain a State approved Data Transformation Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.
025	Must provide, implement, and maintain a State approved DMA Audit and Control Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.

3. Proposal Response

To understand and appropriately evaluate the Contractor’s approach and discipline in infusing that approach within the bidder’s organization, the bidder should respond to the following:

- a. Describe the bidder’s proven methodology, approach, and process for PMLC and SDLC.
- b. Describe how the bidder’s project management approach works within an integrated PMO model that may consist of Contractors, State staff, IV&V representatives, as well as other Contractors currently supporting State efforts.
- c. Discuss how the approach has been successful with previous clients.
- d. Describe the standard(s) the bidder’s proposed methodologies are based upon, or consistent with, and how they are integrated into the bidder’s project management methodology.
- e. Describe how the bidder’s project management, quality management, and software development methodologies are designed to work together.
- f. Must describe how it intends to manage and control updates to its project plan(s) and baselines, including the frequency of updates.
- g. Discuss and include any additional proposed project management and SDLC deliverables in the deliverables catalog based on the bidder’s project management and SDLC methodology.
- h. Submit the initial IMS.
- i. Provide examples of the proposed project management and SDLC standard deliverables used in previous projects.
- j. Describe how the bidder’s project management approach can adapt to existing or newly defined State governance models.

C. Performance and Status Reporting

1. Status Reporting

a. Overview

During the DDI phase, DHHS and its stakeholders will need accurate performance and status reports to understand the project’s status and any potential risks. Reports must address various DHHS and stakeholder informational needs. The minimum status reporting requirements include:

Frequency	Audience	Information Needed
Weekly	Project Management Project Director	<ul style="list-style-type: none"> • Detailed schedule status • Activities and accomplishments • Risk/issues to be addressed and status of open items • Upcoming resource needs • Stakeholder engagement • Project plan reports
Monthly*	Steering Committee CMS Nebraska Information Technology Commission	<ul style="list-style-type: none"> • Overall project status • Status of milestones • Executive level risks/issues • External communications • Budget Status
Quarterly*	Governor Legislature	<ul style="list-style-type: none"> • Overall project status • Major accomplishments

Frequency	Audience	Information Needed
		<ul style="list-style-type: none"> • Constituent impacts

* Frequency will be established based on project needs. Large scale projects with higher levels of visibility may require an increased frequency of some reporting.

b. Requirements

The Contractor must meet the following requirements:

ID	Status Reporting
026	Must prepare and submit a weekly status report.
027	Must prepare and submit a monthly status report.
028	Must prepare and submit a quarterly status report.
029	<p>The Contractor must provide weekly (or any other interval requested by the State) baseline project plan-based reports that demonstrate:</p> <ol style="list-style-type: none"> 1. Tasks not started on time. 2. Tasks started on time but not completed on time. 3. Upcoming tasks for the next 30 days (or any other interval requested by the State). 4. Upcoming tasks for the next 30 days that are to be performed by an entity other than the Contractor, which includes duration, start date, end date, and the Contractor's estimate of resource hours needed to complete each task.
030	Must prepare and submit other status documents as necessary to support the DDI progress.

c. Proposal Response

The bidder should respond to the following:

- 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.
- Describe the bidder's methods for determining and reporting overall project status (i.e., determining whether a project is red, yellow, or green, and providing defined criteria as to what constitutes each type of status).
- Discuss how the approach has been successful with previous clients.
- Provide examples of similar status reports used in previous projects.

2. Performance

a. Overview

The Contractor is responsible for timely performance and completion of the project deliverables. If the Contractor submits a late deliverable, the State may impose monetary penalties against the Contractor's deliverable payment. Submission of a deliverable that meets the schedule, but is deemed not indicative of the quality and completeness of the deliverables provided in the Contractor's proposal, must be considered late until an acceptable product is provided. Monetary penalty amounts per deliverable are:

- One to ten calendar days of delay – 5% of the amount due.
- 11 to 40 calendar days of delay – An additional 10% of the amount due.
- 41 to 70 calendar days of delay – An additional 20% of the amount due.

Monetary penalties assessed for late deliverables may be regained by the Contractor upon DHHS approved successful completion of the Contractor's CAP and all incomplete tasks within the IMS having an on-time status. (Note: Change requests that extend a time limit will not result in a refund of a monetary penalty already assessed/missed). Monetary penalties taken from the Contractor's payment are not damages and do not preclude the

State from assessing State-incurred actual damages resulting from the Contractor's performance deficiencies.

Contractor

The State may, at its sole discretion, waive a monetary penalty for extenuating circumstances.

b. **Requirements**

The Contractor must meet the following requirements:

ID	Performance
031	Must deduct any State-required monetary penalties from the Contractor's deliverable invoices.
032	Must develop CAPs for State approval as requested by the State within a maximum of 10 business days of the request. Once approved, the Contractor must implement the CAP within 10 – 30 days unless other timeframes are agreed to by the State.
033	Must submit all required evidence to the State for approval of completed CAPs.
034	Must report on the status of corrective actions in weekly status reports until the issue that prompted the need for the CAP is resolved.

c. **Proposal Response**

The bidder should respond to the following:

- i. Describe the bidder's approach to ensuring deliverable are completed in a timely and quality manner.
- ii. Provide an overview of the bidder's approach to corrective actions.
- iii. Describe the bidder's strategy and approach to resolving project performance issues.
- iv. Provide examples of similar CAPs used by previous projects or the bidder's CAP template, including instructions and procedures for completing the template.

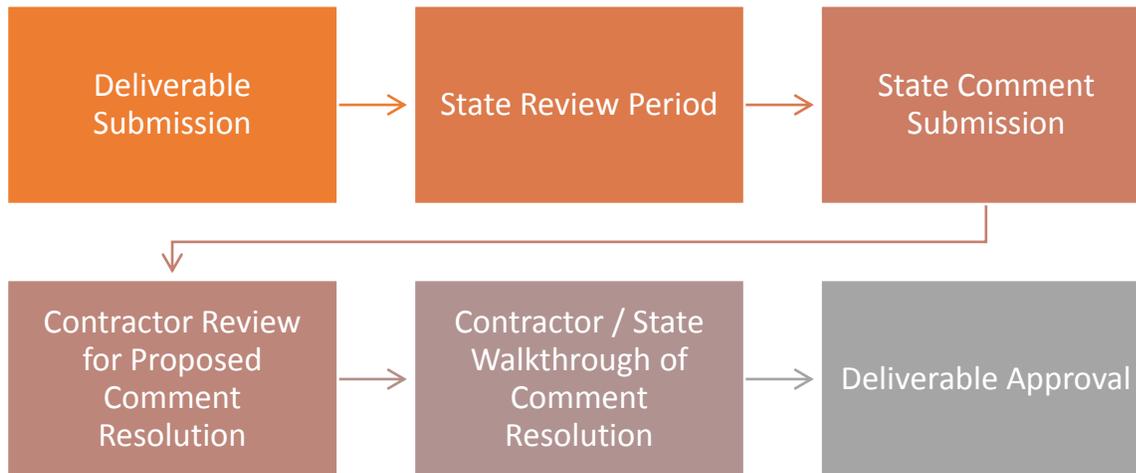
D. Deliverables

1. **Overview**

The State has identified a minimum set of deliverables for the DDI phase. bidders must also propose their methodology, approach for DDI and the bidder's deliverables associated with their approach. The State requires deliverables that include environments, and tested and working product.

a. **Review and Approval**

Regardless of the deliverable provided, the State or designated agents have the responsibility to review and approve Contractor deliverables. The project must adhere to the following review process and the State requires the bidder to include the following review process within the proposed IMS. The goal of the review process is to avoid multiple resubmissions and returns.



Process Step	Details
Deliverable Submission	The Contractor submits the deliverable to the State. In instances with environments and working product, the deliverable submission may be an attestation that the deliverable is complete and ready for review. For non-documentation deliverables, the State will determine the review approach. The Contractor must provide any additional supporting details as required by the State.
State Review Period	The State will review the deliverable within the time period agreed to within the final deliverable catalog to provide comment. In instances where a deliverable is not documentation, the State is open to Contractor proposed review methods and approaches to take place within the proposed time period.
State Comment Submission	The State submits comments to the Contractor for resolution. In instances where the Contractor proposes a walkthrough, the comments may be comments provided in the walkthrough. If the Contractor proposes a walkthrough in support of the State review, the Contractor must be expected to capture the comments made within the walkthrough for resolution.
Contractor Review for Proposed Comment Resolution	The Contractor must review all State comments and document the Contractor's proposed resolution to the comment. If a document change is made, the document changes will be made with tracked changes.
Contractor / State Walkthrough of Comment Resolution	The State and Contractor must identify the participants from the respective organizations for the comment resolution walkthrough. The representatives will jointly review the proposed resolution to the comments. The expectation is that both the State and Contractor must be reasonable in comment resolution. The review meetings will continue until agreement between the State and Contractor is reached on the resolution of all comments or it is clear that agreement will not be reached at which time the deliverable approval will be escalated as an issue pursuant to the governance model.
Deliverable Approval	The Contractor must submit the final deliverable agreed upon in the previous process step with signed approval from the designed walkthrough attendees from the State and Contractor for final approval.

2. Requirements

The Contractor must meet the following requirements:

ID	DDI Deliverables
035	Must provide all documentation deliverables included in the Contractor's proposed deliverable catalog in conformance with the approved templates, instructions, and procedures and of the quality of the provided examples submitted with the proposal.
036	Must perform all deliverables included in the deliverable catalog.
037	Must provide the State with reasonable review periods applicable to the deliverable.
038	Must perform work and submit deliverables for State review and approval in accordance with the approved IMS scheduled dates.
039	Must provide a tracking capability for tracking of deliverable submission and review status.
040	Must submit any changes to previously approved deliverables for approval through the review process.

3. Proposal Response

Complete the deliverable section of the deliverable catalog provided in Attachment A - Deliverable Catalog for each deliverable the bidder proposes to provide in the DDI Phase. Instructions for completing the Catalog are included in Attachment A - Deliverable Catalog.

For non-documentation deliverables, provide a clear explanation of how the bidder will provide the deliverable in a manner in which the State can review, comment upon, and approve the deliverable. Include examples that are representative of what the State will see on the contract.

E. Quality Assurance and Monitoring

1. Overview

The State requires a comprehensive Quality Assurance Plan to ensure efficiency, compliance and performance monitoring which will reduce risk and minimize downstream defects. The State requires monitoring to measure quality assurance activity and identify defects in project deliverables and products. The Contractor will identify issues as early as possible in the project lifecycle so they may be corrected as quickly as possible. The Contractor must communicate frequently and transparently to build a collaborative approach to quality assurance.

A collaborative approach to quality will:

- a. Ensure appropriate activities are put in place to ensure a high standard of quality.
- b. Ensure input and recommendations are promoted and documented in a timely manner.
- c. Promote early identification and prevention of problems.
- d. Share solutions and implement process improvement to avoid similar issues in the future.
- e. Communicate changes that affect general work procedures or standards

Quality Assurance and Monitoring encompasses the entirety of the Contractor's products including documentation, software products, environments, and any other deliverables proposed by the Contractor.

2. Requirements

Contractor must meet the following requirements:

ID	Quality Assurance and Monitoring
041	Must develop and put into practice a comprehensive quality assurance plan or series of plans to infuse quality throughout the project lifecycle and monitor, test, and audit the projects products prior to delivery.
042	Must manage and perform all aspects of quality assurance and monitoring necessary to meet the requirements of this contract.
043	Must develop documented quality assurance procedures.

ID	Quality Assurance and Monitoring
044	Must report within the weekly status report identified deficiencies with weekly updates until deficiencies are corrected.
045	Must develop, submit, and put into practice a comprehensive test plan to ensure that the provided solution effectively meets the requirements.
046	Must provide and follow a rating system for defects.

3. Proposal Response

The bidder should respond to the following:

- a. Describe the bidder's methodology, approach, and processes for quality assurance and monitoring of project deliverables and products (e.g. quality of the code, workmanship, project schedules, subContractor activities, etc.)
- b. Discuss how the approach has been successful with previous clients.
- c. Describe how the Quality Assurance Plan(s) reflect the bidder's experience and expertise in systems design, testing and implementation.
- d. Describe what standard(s) the bidder's proposed methodologies are based upon or consistent with and how they are integrated into a project management methodology.
- e. Include the bidder's proposed set of quality assurance deliverables in the deliverables catalog based on the bidder's project management and SDLC methodology.
- f. Provide examples of the required and proposed quality assurance and monitoring standard deliverables used successfully by the bidder on previous projects.
- g. Describe the various measures to be used to ensure accurate and timely results. Include activities, tools and procedures which may be used.
- h. Include activities related to quality assurance in the Integrated Master Schedule (IMS) and indicate the WBS in which they are associated.
- i. Ensure quality assurance measurements are addressed in the bidder's proposed status reporting templates and processes.

F. Change Management

1. Overview

Change Management addresses the process that the Contractor must take to manage changes within the project. The State and the Contractor, upon the written agreement, may make changes to the contract within the general scope of the RFP. Changes may involve specifications, the quantity of work, or such other items as the State may find necessary or desirable. Corrections of any deliverable, service, or work required pursuant to the contract shall not be deemed a change. The Contractor may not claim forfeiture of the contract by reasons of such changes.

The Contractor shall prepare a written description of the work required due to the change and an itemized cost sheet for the change. Changes in work and the amount of compensation to be paid to the Contractor shall be determined in accordance with applicable unit prices, per the cost proposal labor category rate, or a pro-rated value. The State shall not incur a price increase for changes that should have been included in the Contractor's proposal, where foreseeable at the time of the bid, or result from difficulties with or failure of the Contractor's proposal or performance.

No change shall be implemented by the Contractor until approved by the State, and the Contract is amended to reflect the change and associated costs, if any. If there is a dispute regarding the cost, but both parties agree that immediate implementation is necessary, the change may be implemented, and cost negotiations may continue with both Parties retaining all remedies available under the contract.

2. Requirements

The Contractor must meet the following requirements:

ID	Change Management
047	Must establish a process to track and manage change requests within the performance of the contract. The process must accommodate escalation and disposition of change requests escalated to the project or organizational change control approval levels.
048	Must implement change requests in a manner with the least possible impact to the project timeframes and budget while maintaining a high quality delivery.

ID	Change Management
049	Must document change requests utilizing a format and process approved by the State.
050	At the request of the State, the Contractor must analyze change requests and submit the results of analysis to the State. At a minimum, the estimate and results must include estimates for effort by resource category by work package, cost, schedule impact, impacts to the system, impacted external entities and interface partners, and impacted business operations.
051	Must monitor changes in Federal and State laws and rules for impacts to the project.
052	Must support discussions and meetings on the disposition of change requests with the necessary team members to enable decision making.
053	Must submit monthly detailed accounting for change requests to the State's satisfaction of the work performed by each individual billing time to the change request.
054	Must submit a Change Management Plan detailing the change management process and approach along with a visual aid of the overall process and approach.

3. Proposal Response

The bidder should respond to the following:

- a. Describe the bidder's methodology, approach, and processes for change management and integration of a change requests in various stages of the DDI.
- b. Discuss how the approach has been successful with previous clients.
- c. Describe the types of change requests historically received by the bidder and the typical resource mix (percent of hours) by resource category contained in the bidder's pricing proposal used to complete the change requests.
- d. Describe with what standard(s) the bidder's proposed methodologies are based upon or consistent with and how they are integrated into a project management methodology.
- e. Include the bidder's proposed change management deliverables in the deliverables catalog based on the bidder's project management and SDLC methodology.
- f. Provide examples of the proposed change management standard deliverables successfully used by the bidder's previous projects.

G. Data Conversion and Data Load

1. Overview

Data Conversion is a critical step in the implementation process. To accomplish the vision for the Medicaid Enterprise Data Warehouse, the State requires that the Contractor will convert data from all applicable data sources including the existing data warehouse and legacy operational systems. Information on the existing data sources are included in the bidder's library.

Data Conversion includes the strategy, preparation and specifications for converting data from source system(s) to the target system(s). The Data Conversion and load approach should also be a coordinated aspect of the operational data integration strategy. The State seeks to understand the bidders overall approach and processes that will be used in the data conversion and data load including key aspects such as inventory and cross referencing of source and target data elements, schema, metadata and all self-describing files; process for data extraction, transformation and loading for each data source; tools needed to execute the conversion; and strategy for data quality assurance and control.

2. Requirements

The Contractor must meet the following requirements:

ID	DDI Data Conversion and Data Load
055	Must submit a Data Conversion and Load Plan that includes strategy, methodology, process, tools, quality and contingency aspects.
056	Must develop Data Conversion specifications and mappings for all data sets to be converted and loaded.
057	Must plan, test, execute and manage the Data Conversion process and data load from all source systems.

ID	DDI Data Conversion and Data Load
058	Must develop and provide iterative and final data conversion execution packages according to plan that includes appropriate information on the process, methods, logic, data sets converted, quality findings, and test results.
059	Must convert and load the appropriate data from all State systems necessary to support the requirements of the contract.

3. Proposal Response

The bidder should respond to the following:

- a. Description of the strategy and approach to Data Conversion that clearly articulates the methodology and activities of the process including the various stages and key aspects including approach to inventory and cross reference of source and target data elements, schema, metadata and all self-describing files; process for data extraction, transformation and loading for each data source; tools needed to execute the conversion; and strategy for data quality assurance and control
- b. Discuss how the approach has been successful with previous clients.
- c. Information that quantifies the implementation (building, testing, and deploying) of the proposed and any future data conversion efforts. The State seeks to understand how the bidder organizes level of effort estimates in this regard.
- d. Sample Data Conversion and Load Plan from a previous project.
- e. An approach to developing data conversion specifications and mappings.
- f. Methodology and approach for data cleansing that includes rules for populating data elements not present on either the source or target side, handling duplicate data, and data anomalies.
- g. Methodology and approach for testing and data synchronization.
- h. Corrective actions used for conversion and migration rule defects.
- i. Conversion and initial load contingency plan detailing methods, approaches and processes.
- j. Sample Data Conversion Execution package to include process flows and reports from a previous project.

H. Environments

1. Overview

The State may choose for the Contractor to establish and configure the appropriate DDI environments with all system components necessary to perform DDI. These environments will be used to develop, test, and prepare the proposed solution for production. However, the State requires flexibility for the State to assume at its discretion the hosting or housing responsibilities for one or more environments.

2. Requirements

Contractor must meet the following requirements:

ID	DDI Environments
060	Must provide and host all hardware, software, and connectivity required to maintain and operate the environments and for all authorized users to access and use the system.
061	Must manage and maintain software upgrades and licenses necessary to fulfill the requirements of the contract.
062	Must provide environments that enforce standard security and privacy.
063	Must submit an infrastructure and architecture plan describing the DDI environments and network connectivity.

3. Proposal Response

The bidder should respond to the following:

- a. Describe the proposed environments and plan for connectivity. The description must at a minimum address specifications of the number of units and type of hardware and software product, software licensing models, system component interdependencies, versions, upgrade methodology, and privacy and security.

- b. Describe the configuration options and controls in place for updating environments and promotion of product versions.
- c. Provide examples of an infrastructure and architecture plan used on previous projects. The State recognizes that the examples may have a different naming convention.
- d. Provide an overview of the bidder's plan for connectivity between the bidder's facilities and the State offices.
- e. Update the Deliverable Catalog with the names and other required details for each environment proposed.
- f. Include all costs and details for the environments in the cost proposal.

I. Disaster Recovery

1. Overview

The Contractor must provide a Disaster Recovery Plan for the DDI phase of this project. Disaster Recovery must be planned for and implemented early in the DDI phase.

The Contractor's approach must integrate with the State's overall Disaster Recovery Plan and detail the procedures necessary to recover the DDI system.

2. Requirements

ID	
064	Must submit a Disaster Recovery Plan for DDI that includes strategy, methodology, process, tools, quality and contingency aspects.
065	Must perform testing to demonstrate that the Disaster Recovery Plan has been correctly implemented, is operational and complies with prescribed recovery timelines in the Disaster Recovery Plan.
066	Must maintain system redundancy as identified in the Disaster Recovery Plan and approved by the State.

3. Proposal Response

The bidder should respond to the following:

- a. Describe the bidder's methodology and approach to implementation of the Disaster Recovery Plan that clearly articulates the activities of the process including the various levels of criticality, failover and redundancy of key system aspects, alternate processing methods, data center specifications, testing, maintenance, and staffing.
- b. Discuss how the approach has been successful with previous clients.
- c. Provide examples of the proposed Disaster Recovery Plan standard deliverables used by previous projects.
- d. Propose the bidder's planned disaster recovery timeframes based on kinds of disasters.
- e. Description of approach, method, and samples of root cause analysis reporting for unscheduled downtime.
- f. Provide clearly defined roles, responsibilities, processes, and procedures.

J. Facility

1. Overview

The State will provide the Contractor with local facility space for Contractor staff members whose work requires regular State interaction (e.g. project manager and business analysts). For those local project staff members, the State will provide general office furniture, materials, printer and copy machine access, and standard state desktop computers with standard software. The State, in anticipation of temporary periods of increased local staffing presence for certain project activities (e.g. system readiness testing), will work with the Contractor to plan for and provide temporary work space during those periods.

The Contractor is responsible for all other facility needs for hosting of environments and Contractor staff whose work does not require regular State interaction.

2. Requirements

The Contractor must meet the following requirements:

ID	DDI Facility
067	Must provide secure facilities for hosting of all environments within the continental United States.
068	Must have plans in place at Contractor provided facilities to minimize project work impact due to outages.
069	Must have controlled access to all Contractor facilities in compliance with privacy and security requirements.

3. Proposal Response

The bidder should respond to the following:

- a. Describe the bidder's locations and facilities where off site work will be performed including the bidder's approach to controlling access.
- b. Describe the bidder's hosting facilities and approach to minimizing project work impact due to outages.
- c. Identify the bidder's number of positions expected to be located in Lincoln by project month.

K. Organizational Staffing

1. Overview

The DDI Organizational Staffing begins at project startup. The State requires the Contractor to provide highly qualified and experienced personnel. Appropriate, skilled staff will reduce project risks.

The key position personnel identified below must be the actual personnel who must fulfill the obligations of the terms of the RFP. Resumes and references must be included in the proposal for each of these positions.

The following are the key personnel positions for DDI:

Key Position	Qualifications	Start Date	Special Requirements
Project/Account Manager	A minimum of five (5) years of experience in managing or in a key management position for a large-scale healthcare IT development project that encompasses the full system development life cycle from initiation through post implementation; and Previous responsibility for managing subcontractor resources, if subcontractors are included as part of this proposal. Previous experience following a standard PM methodology and in using various project management tools in developing project plans, delivering tasks, and tracking timelines and resources. PMI or generally equivalent certification.	Contract signing date	Must not serve in any other position. Must be 100 percent allocated to the Project through Implementation. Must be onsite 90% of the time in Lincoln, Nebraska.
Privacy and Security Manager	A minimum of three (3) years of experience managing Privacy and Security for healthcare. Demonstrated experience and knowledge of Privacy and Security standards and best practices regarding large-scale and enterprise-level projects. Certification in privacy and security from a nationally recognized standards organization.	Contract signing date	

Key Position	Qualifications	Start Date	Special Requirements
DDI Manager	A minimum of five (5) years experience implementing large-scale health care solutions within environments similar to that of the DMA. Previous experience in the Contractor's proposed methodology and in using various project management tools in developing project plans, delivering tasks, and tracking timelines and resources. PMI certification is preferred.	Contract signing date	Must not serve in any other position. Must be 100 percent allocated to the Project through Implementation. Must be onsite 90% of the time in Lincoln, Nebraska.
Technical Solution Manager	Possess a minimum of five (5) years experience implementing large-scale health care solutions within environments similar to that of the DMA. Possess expert knowledge of the Contractor's solution, having implemented the solution in a minimum of one (1) environment at least as complex as the DMA. Possess demonstrated experience implementing data warehouse solutions within an integrated environment, employing SOA and intelligent business reporting.	Contract signing date	Must not serve in any other position. Must be 100 percent allocated to the Project through Implementation. Must be onsite 90% of the time in Lincoln, Nebraska.
Business Solution Manager	Possess a minimum of five (5) years experience implementing large-scale health care solutions within environments similar to that of the DMA Possess three (3) years experience extracting and documenting business rules Possess a working knowledge of business process modeling Possess expert knowledge of the Contractor's solution, having implemented the solution in a minimum of one (1) environment at least as complex as the DMA Possess expert knowledge of national policy and standards that impact the Medicaid environment.	Contract signing date	Must not serve in any other position. Must be 100 percent allocated to the Project through Implementation. Must be onsite 90% of the time in Lincoln, Nebraska.
Testing Manager	Possess a minimum of five (5) years experience developing and executing testing programs for solutions similar to Contractor's solution for the DMA Possess a working knowledge of the Contractor's proposed solution for the DMA. Possess a working knowledge of business processes associated with the DMA.	After contract signing date and according to the Contractor's baseline project plan	Must be on-site any time that on-site testing activities are being performed.
Documentation and Training Manager	Possess a minimum of five (5) years experience developing and executing training programs for solutions similar to Contractor's solution for the DMA Possess a working knowledge of the Contractor's proposed solution for the DMA Possess a working knowledge of business processes associated with the DMA.	Contract signing date	Must be onsite for all training activities.
Interface/Data Manager	Possess a minimum of three (3) years experience developing and deploying interfaces for systems similar to Contractor's solution Possess a minimum of five (5) years experience performing data warehouse, data cleansing, or data conversion activities for systems similar to the Contractor's solution Possess a minimum of three (3) years experience managing a data conversion or interface design project similar to the needs of the DMA Possess excellent communications skills, written	After contract signing and according to the Contractor's baseline project plan	Must be on-site during design sessions related to interfaces or data requirements. Must be on-site for system readiness testing and implementation activities.

Key Position	Qualifications	Start Date	Special Requirements
	and oral A Bachelor's Degree in an information technology or a related field is preferred but not required.		

The State has identified a minimum set of key staff positions. The State expects the Contractor to provide additional key staff positions based on the Contractor's approach and plan for DDI. For the purposes of this contract, the Contractor must not employ or contract with any individual who has been debarred, suspended, or otherwise lawfully prohibited from participating in any public procurement activity or from participating in non-procurement activities under regulations issued under Executive Order 12549 or under guidelines implementing Executive Order 12549 [42 CFR 438.610(a) and (b), 42 CFR 1001.1901(b), and 42 CFR 1003.102(a) (2)]. The Contractor must screen all employees and subcontractors to determine whether any of them have been excluded from participation in Federal health care programs. The DHHS, Office of Inspector General website, which can be searched by the name of any individual, can be accessed at: <https://oig.hhs.gov/exclusions/index.asp>.

2. Requirements

Contractor must meet the following requirements:

ID	DDI Organizational Staffing
070	Must provide criminal background initial investigations on all personnel prior to project assignment and follow-up investigations every five years.
071	Must submit a monthly updated resource utilization matrix that identifies resource use expectations by month (i.e. hours by person, throughout the DDI phase including actuals vs planned for previous months.
072	Must submit resumes of Key personnel to the State for approval, for change in personnel.
073	Must relieve any of the Contractor's personnel from any further work under the Contract if in the State's sole discretion (i) the individual does not perform at the applicable skill level specified in the Contractor's Technical Proposal or elsewhere in the Contract, (ii) the individual does not deliver work that conforms to the performance standards stated in the RFP, the Contractor's Technical Proposal, and elsewhere in the Contract, or (iii) the person exhibits personal or professional conflicts with State personnel that hinder effective progress on the project. Upon being notified in writing by the State Contract Administrator that a member of the Contractor's personnel is unacceptable, the Contractor must immediately remove that individual from any assignments on the Contract. In the event that a member of the Contractor's personnel is removed pursuant to this paragraph, the process set out for submission of resumes, interviews, and approval must apply as if the person removed were among the Key Personnel.
074	With respect to all vacancies of Key Personnel during the DDI phase, must receive a credit the State an amount equal to the full-time labor cost including the Contractor's overhead and margin costs of the unavailable individual, prorated for each day or partial day the position is vacant until the position is satisfactorily filled. For vacancies due to any reason other than dismissal by the State, of the applicable individual, the credit must begin to accrue at the time the vacancy occurs. For vacancies that occur due to the State's request, the credit must begin to accrue on the sixtieth (60th) business day after the vacancy occurs. Key personnel must be replaced with individuals with comparable experience and qualifications as those submitted by the Contractor in the proposal pending state approval. The Contractor is required to submit resumes and allow the State to interview applicants as part of the approval process.
075	Must provide key personnel in accordance with II.K.1.
076	Must ensure that customer facing staff are within Lincoln, Nebraska 90% of the time during the implementation.
077	Must maintain an Organizational Chart and project contact list.
078	Must acquire State approval for key staff and key staff replacements.
079	Must provide and retain a team and sufficient staff in the right mix, inclusive of technical (e.g. systems analysts, technicians) and non-technical (e.g. clerical, business analysts) resources to complete the services and meet the requirements specified in this contract.
080	Must not reassign or replace key personnel without prior approval from the State.

ID	DDI Organizational Staffing
081	Must provide an interim resource within a maximum of five (5) business days for any key personnel vacancies regardless of the reason for the vacancy.

3. Proposal Response

The bidder should respond to the following:

- a. Initial resource utilization matrix that identifies resource use expectations throughout the DDI phase.
- b. Proposed bidder's key staff for the DDI phase including the bidder's required minimum qualifications for each key position.
- c. Names and resumes of the bidder's proposed key staff.
- d. Bidder's organizational chart for the project team.
- e. All customer facing staff positions for the DDI phase.

L. Documentation

1. Overview

The development and retention of comprehensive project documentation begins during the DDI phase and will continue through implementation and operations. The State requires the Contractor to keep detailed documentation regarding all activities in the DDI, implementation, and operational phases and to provide an easy to use repository to house this information for the duration of the contract. The repository must be available to all staff involved in the project. The State requires the Contractor to create and maintain all required documentation and keep it current during the DDI, implementation, and operational phases.

2. Requirements

Contractor must meet the following requirements:

ID	DDI Documentation
082	Must provide and maintain an online repository accessible by State staff and designees for all project documentation.
083	Must ensure that documentation is developed in a consistent style using consistent formats and defined terminology and acronyms (i.e. standard template, style guide, definitions, and acronyms).
084	Must provide user and system documentation that is effective for both new and experienced users.
085	Must develop and provide project notes and artifacts.
086	Must provide Companion Guides, tutorials, help files, FAQ's and tool tips.
087	Must develop a meaningful classification system to organize the documentation by type, subject, phase, and audience.
088	Must produce agendas and minutes of project meetings and maintain in the online repository.

3. Proposal Response

The bidder should respond to the following:

- a. Describe how the bidder will meet the requirements of this section.
- b. Discuss how the approach has been successful with previous clients.
- c. Describe the bidder's repository tool and structure for managing the access and updates to project documentation.
- d. Provide a description of the features of the repository tool.
- e. Provide the bidder's standard style guide for documentation.
- f. Provide examples of training tools and system documentation.
- g. Describe how effective documentation has supported previous, similar efforts leading up to a certification process.

M. User Support

1. Overview

The Contractor will need to establish user support for both the State and authorized users for the DDI phase. It is anticipated that the level of support during the DDI phase will be less rigorous than the operations phase. However, the Contractor is expected to have and communicate procedures and related documentation for access to the DDI environments.

2. Requirements

Contractor must meet the following requirements:

ID	DDI User Support
089	Must provide State users access to each environment as directed by the State.
090	Must establish a contact point for State users to address access issues with environments during the hours of 8 am – 5 pm local time during all State business days.
091	Must resolve user access issues within a maximum of one (1) business day.
092	Must provide telephone and email support for user support and questions.
093	Must provide training to users as needed in support of the DDI phase.
094	Must provide user access within a maximum of one (1) business day and user termination within a maximum of one (1) hour of request.

3. Proposal Response

The bidder should respond to the following:

- a. Describe the methodology, approach, and process for user support during DDI.
- b. Describe the recommended and proposed types of training that coincide with the Contractor’s established best practices. The Contractor is expected to provide methods of training that are best suited for their application while providing the best user experience for the State.
- c. Discuss how the approach has been successful with previous clients.

N. System Readiness

1. Overview

The DMA will require innovation and flexibility from the Contractor. System Readiness assessment and testing may require new and different planning and testing scenarios.

System Readiness occurs when the complete system is ready to be tested for acceptance and approved by the State. The approval allows the Contractor to move forward with operational readiness and then implementation. The Contractor has the responsibility to plan and perform the acceptance testing, and present and walk through the test results with the State to gain State approval. The State reserves the right to approve the test scenarios and cases and to specify test scenarios and cases for the Contractor to perform. The State also reserves the right to perform or designate another entity to perform any scenarios or cases the State chooses.

2. Requirements

Contractor must meet the following requirements:

ID	System Readiness
095	<p>Prior to the start of system readiness, must submit a signed attestation to the State that the system:</p> <ul style="list-style-type: none"> • Meets all required functionality. • Defects requiring correction for production identified in previous testing have been resolved. • Environment has been set-up to mirror the planned production environment. • Reference tables have been configured as planned for the production environment. • A statistically valid subset of historic data from all source systems has been converted through the

ID	System Readiness
	<ul style="list-style-type: none"> planned conversion logic. • Security roles have been established as planned for in the production environment. • Interfaces have been confirmed as being functional.
096	Must perform system readiness testing of all system functionality.
097	Must provide a comprehensive System Readiness Test Plan.
098	Must conduct end-to-end testing with interface partners both external and internal
099	Must include defect status information in the weekly status report.
100	Must provide documented results and conduct walkthroughs of test results.
101	Must receive State approval to entering and exiting system readiness.
102	Must perform all set-up, preparation, and result documentation activities for testing regardless of whether the Contractor or State designee is performing the test case.

3. Proposal Response

The bidder should respond to the following:

- a. Describe methods, approaches and processes for each of the System Readiness requirements that demonstrate a clear understanding of responsibilities specific to the new NE MMIS model.
- b. Describe the bidder's process and tools for defect management including defect categorization (.e.g. severity, priority, etc.), defect release management, and retesting as validation of system readiness.
- c. Provide the bidder's proposed resolution period by defect severity, priority, etc.
- d. Provide Entry/Exit Criteria.
- e. Provide examples of the proposed System's Readiness standard deliverables used by previous projects.

O. Operational Readiness

1. Overview

The goal of Operational Readiness is to verify that contract requirements are in place to successfully implement and begin operations of the DMA. Operational Readiness includes:

- a. training internal and external users
- b. completion and testing of operating procedures
- c. facilities
- d. security
- e. disaster recovery
- f. hiring and training of operational staff

The State and its designees will conduct a thorough readiness review prior to setting a specific implementation date.

Operational Readiness is separate from system readiness testing.

Contractors are expected to propose their methodology and approach for determining Operational Readiness. The Contractor is responsible for demonstrating Operational Readiness, which includes results walkthroughs. Operational Readiness reviews may involve external parties or other State contractors (managed care organizations, actuaries, etc.).

Multiple Operational Readiness dates, reviews and approvals may be necessary if implementation is staged or in the event that functionality is added to the contract.

The State will not allow the Contractor to move into operations until the Contractor can prove operational readiness to the satisfaction of the State. The successful completion will result in State sign off of Operational Readiness and setting of a specific implementation date.

2. Requirements

Contractor must meet the following requirements:

ID	Operational Readiness
103	Must develop and provide an Operational Readiness Plan to the State for approval that is effective for both new and experienced end users of the system.
104	Must develop and provide Business and Technical Operating Procedures to the State for approval.
105	Must submit a signed certification to the State of operational readiness including results of operational readiness checklists and testing.
106	Must provide training and training materials for all operational aspects of the solution to all end users, internal and external.
107	Must test and certify that all components are ready for operations.
108	Must perform, monitor, and document operational testing results.
109	Must correct identified problems, failures, incompatibilities, and errors identified during operational readiness. Modifications must be documented, and the Contractor must conduct another review of the readiness.
110	Must provide and walkthrough an Operational Readiness Report.
111	Must receive State approval prior to entering and exiting operational readiness.

3. Proposal Response

The bidder should respond to the following:

- a. Describe methods, approaches and processes for the Operational Readiness Plan.
- b. Discuss how the approach has been successful with previous clients.
- c. Provide a description of the approach to training of external and internal end users.
- d. Describe the bidder's process and tools for defect management including defect categorization (.e.g. severity, priority, etc.), defect release management, and retesting as validation of system readiness.
- e. Describe methods, approaches and processes for training.
- f. Provide examples of the proposed Operational Readiness standard deliverables used on previous projects.

P. Privacy and Security

1. Overview

During DDI, the Contractor will have access to protected health information (PHI) and must comply will all security and privacy laws, regulations, and policies, including the Health Insurance Portability and Accountability Act (HIPAA) and related breach notification laws and directives. A well formulated strategy and methodology is necessary to protect the PHI entrusted to the Contractor. The State must not provide the Contractor access to any protected health information until a privacy and security plan for DDI is approved and the Contractor attests that the plan has been implemented.

2. Requirements

Contractor must meet the following requirements:

ID	DDI Privacy and Security
112	Must develop a Privacy and Security Plan. This plan must include both physical and network security.
113	Must maintain a comprehensive audit trail of systematic and physical access to PHI.
114	Must comply with all security and privacy laws, regulations, and policies, including the Health Insurance Portability and Accountability Act (HIPAA), and related breach notification laws and directives.
115	Must inform the State of any potential, suspected, or confirmed breach immediately upon Contractor becoming aware.
116	Must provide initial and ongoing privacy and security training to all employees and contract personnel assigned to the project prior to providing access to PHI.
117	Must take reasonable industry recognized methods to secure the system from un-authorized access (e.g., NIST 800-53 rev4 found at http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53Ar4.pdf).
118	Must de-identify data for testing purposes.
119	Must de-identify data and maintain the value of the data without compromising the ability to run analytics and applications.
120	Must provide a third party cyber security assessment to execute a security audit prior to go-live. The selected third party assessor must work with the State Office of Information Security and provide reports to the DHHS IT Security Administrator.

3. Proposal Response

The bidder should respond to the following:

- a. Description of the proposed strategy, methodology and capabilities for systems, operational and physical security.
- b. Discuss how the approach has been successful with previous clients.
- c. Description of the approach, strategy and methodology for the Privacy and Security Plan including review and update procedures.
- d. Sample of a Privacy and Security Plan from a previous project
- e. Description of how workforce privacy and security awareness is supported.
- f. Description of how State and Federal privacy and security requirements are integrated into the solution and include proposed security for data transmissions.
- g. Description of the methodology, approach and process used to maintain PHI.
- h. Description of security and privacy compliance testing.
- i. Listing of security tools, hardware and software to be used and how they integrate to form a comprehensive security architecture.
- j. Description of the encryption schemes, how those schemes can be extended into the system architecture, and the plan to incorporate greater encryption requirements in the future.
- k. Description of how data access and data security is managed and what structures, protocols and tools are used to maintain controlled access, flexibility and efficiency.
- l. 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.
- m. List of security breaches, penalties and recovery efforts on healthcare and state Medicaid projects within the last ten (10) years.

Q. Implementation and Contingency

1. Overview

Once the system is accepted by the State through the system readiness testing and operational readiness reviews, the Contractor will initiate implementation of the accepted system and applicable operations. The Contractor is responsible for all activities and coordination with other Contractors to support the implementation.

2. Requirements

The Contractor must meet the following requirements:

ID	Implementation and Contingency
121	<p>Must develop an implementation and contingency plan documenting:</p> <ul style="list-style-type: none"> • The Contractor's plan and milestones for implementation of the approved system and operations as applicable. • Risks and contingency plans for mitigating and addressing risks during the implementation. • Issue resolution process. • The staff, tasks and sequence of go-live actions necessary to cut over to a new system during implementation. • The staff, tasks and sequence of backing out of a go-live if it is determined the go-live is a failure and must be undertaken at a later date.
122	Must validate the Contractor has a proven and appropriate infrastructure foundation (e.g. servers, storage, interconnect, physical database) in place, is ready for production and has been performance tested for applicable levels of activity.
123	Must validate all production data (e.g. reference, history) and source code is loaded to the appropriate environments.
124	Must validate that interfaces to exchange data are production ready.
125	Must validate that appropriate network connectivity is in place and production ready.
126	Must validate all necessary system and ancillary access is in place, including passwords and security permissions, for all resources per the approved security matrix.
127	Must provide the State with all reasonably requested information to support a go / no-go decision prior to go-live.
128	Must receive State approval prior to beginning the implementation and prior to go-live.
129	Must coordinate and communicate with all actors to ensure each understands the tasks and sequence of actions each must take and that an integrated 'practice' of go-live actions takes place prior to the actual cut over.
130	Must provide event driven communications updates to designated State staff and leadership during cut over.
131	Must coordinate and communicate with all actors to ensure each understands the tasks and sequence of actions each must take to back out of a go-live, including an integrated practice of these actions with the requisite actors prior to undertaking a go-live cutover.
132	Must provide the State a post implementation report noting any issues encountered in hardware, network, software or operations during implementation and what their resolution was or is expected to be.

3. Proposal Response

The bidder should respond to the following:

- a. Describe the bidder's methodology, approach, and processes for implementation management and contingency planning.
- b. Discuss how the approach has been successful with previous clients.
- c. Provide examples of implementation and contingency plans completed for previous projects.
- d. Provide examples of similar efforts that included working with Managed Care Organizations

III. Initial Operations and CMS Certification

A. Phase Overview

1. Overview

The State requires the Contractor to have an established method for managing the initial operation of systems and services. This is a major implementation and requires a stabilization period prior to reaching operating normalcy. Once the system is live, the Contractor is responsible for the requirements in the Initial Operation and CMS Certification phase as well as the requirements in the Operations Phase. During this phase, the State requires the Contractor to meet all contractual requirements of the Initial Operation and CMS Certification phase in addition to those requirements in the Operations phase.

2. Requirements

Contractor must meet the following requirements:

ID	Initial Operations and CMS Certification Phase Overview
133	Must perform all functions necessary to manage the initial operations phase to meet all requirements, performance, and service levels required for the Operations Phase.
134	Must coordinate with the State and other Contractors as necessary to achieve certification retro-active to the date of implementation.

3. Proposal Response

The bidder should respond to the following:

- a. Provide an overview of the bidder's plan and approach for successfully managing the initial operations until operational normalcy is obtained.
- b. Provider an overview of the bidder's plan and approach to certification.
- c. Discuss how the approach has been successful with previous clients.

B. Initial Operations Support and Management

1. Overview

On day one of go-live, the system has entered the initial Operations Phase. In addition to meeting the requirements of the Operations Phase, the State requires the Contractor to have an enhanced monitoring and support plan in place to identify, track and rapidly respond to issues during this phase.

2. Requirements

The Contractor must meet the following requirements:

	Initial Operations Support and Management
135	Must submit the Contractor's plan to monitor, identify, track, and respond to issues within a minimum of 120 days prior to go live for state approval. The components of this plan may be included in the Contractor's implementation and contingency plan referenced in the DDI phase section or as a separate plan.
136	Must immediately inform the State's designated contact person of any issues with immediate external impact.
137	Must conduct status meetings with the State on identified issues including establishing issue priority and severity, and resolution. The frequency of meetings must be established by the State based on the volume, priority, and severity of issues identified.
138	Must remedy any system issues within the specified time frame for the assigned priority and severity. The State has final authority to establish the priority and severity of any issue. Maintain conformance to any agreed to SLAs and contractual guarantees.
139	Must ensure that no scope, schedule, budget or resource issues impact existing projects in process while providing operations support.
140	Must provide business and technical staff and information to support questions on post go-live operations at a heightened level of support until the system has stabilized after go-live for any significant systems functionality or components. Staff will satisfy post operational audit questions, help with certifications and respond to requests for information on system use, navigation, work flow, function, etc.

3. Proposal Response

The bidder should respond to the following:

- a. Describe the holistic approach to initial support and management of the solution upon implementation.
- b. Describe the approach to issue identification, establishing priority and severity, and resolution when the system is not functioning as expected. Describe priority and severity levels and the bidder's proposed resolution timeframe.
- c. Provide examples of plans and procedures used on previous projects.
- d. Describe the types of issues encountered in previous projects, the actions taken to resolve the issues, and the issue resolution timeframe.
- e. Update the Deliverable Catalog when bidder plans to submit a separate plan from the Implementation and Contingency Plan for monitoring, identifying, tracking and responding to within a minimum of 120 days prior to go live
- f. Discuss how the approach has been successful with previous clients.

C. CMS Certification

1. Overview

Successful certification is dependent on an implemented solution that complies with all CMS requirements for enhanced funding. While the State owns overall responsibility for certification of all MMIS components, the Contractor is responsible for the certification of the functionality within the scope of the contract.

The State or designee will coordinate overall certification with CMS. The Contractor must actively prepare for, participate in, and support certification activities coordinated by the State. If the State is unable to receive enhanced funding retroactive to the implementation date of the Contractor's solution, the Contractor must reimburse the State for the lost enhanced funding.

The State understands that CMS is currently in the process of establishing an approach and method to modular certification. However, the process is not established at this time. The State requires that other projects within our staged implementation will have dependencies that may impact certification activities associated with the certification schedule. The Contractor is expected to coordinate certification activities for the Contractor's scope and coordinate with the larger certification effort. The State will not submit the request to CMS to conduct the certification until such time as all procured modules are in place and all projects are prepared for the certification process; unless CMS establishes a modular certification method. Once all procured modules are in place and all projects are prepared for the certification process, the State will submit the request to CMS to conduct certification.

2. Requirements

Contractor must meet the following requirements:

ID	CMS Certification
141	Must submit a certification plan within a minimum of 120 days prior to implementation.
142	Must submit all necessary materials such as certification packets required by CMS for certification within a maximum of 150 days after the implementation date.
143	Must provide any necessary support to the State throughout the CMS certification planning and review process.
144	Must provide training and education to State personnel on the most current CMS certification process prior to the start of certification activities.
145	Must remedy all system or operational issues required for CMS certification.

3. Proposal Response

The bidder should respond to the following:

- a. Provide a detailed strategy, methodology and approach to CMS Certification including the processes and procedures that will be used to manage the certification activities and how these activities will be integrated with the management system.

- b. Discuss how the approach has been successful with previous clients.
- c. Describe how the bidder's approach to DDI supports the eventual certification of the solution.
- d. Describe the methods, approach and process used to develop a Certification Plan.
- e. Provide a sample Certification Plan.
- f. Describe approach to cooperating with IV&V efforts to verify and validate readiness for CMS certification.
- g. Describe the process and procedures to be used to create the documents necessary for CMS certification.
- h. Provide the approach to developing the Certification Checklist
- i. Provide a sample certification review package from a previous project.
- j. Describe the level of support and identify the type of resource(s) at each stage including discrepancy handling, of the CMS certification process.
- k. Describe the approach to the certification strategy and methodology detailing the processes and procedures that will be used to manage the certification activities and how these activities are integrated with the bidder's management system.

D. Organizational Staffing

1. Overview

The State requires the Contractor to provide adequate staff to support the enhanced efforts to monitor, identify, and address issues after go-live and plan, prepare, execute, and achieve CMS certification. The State requires the bidders to provide key personnel with employment backgrounds in similar complex projects with experience that is applicable to the positions being proposed. Proposing qualified and experienced key personnel will be viewed as an important step in reducing potential project risk.

The key personnel identified below must currently be employed by the Contractor and be the actual personnel who must continue to fulfill the obligations of the terms of the RFP. The State requires the following key positions to be identified in the proposal:

The following are the key personnel positions for Initial Operations and Certification:

Key Position	Qualifications	Start Date	Special Requirements
Stabilization Manager	<p>A minimum of five (5) years of experience managing or in a key management position for a large-scale healthcare IT development project that encompasses the full system development life cycle from initiation through post implementation; and</p> <ul style="list-style-type: none"> - Previous responsibility for managing an implementation through initial go-live and stabilization. - Previous experience following a standard PM methodology and in using various project management tools in developing project plans, delivering tasks, and tracking timelines and resources. 	Contract signing date	<p>Must not serve in any other position.</p> <p>Must be 100 percent allocated to the project through stabilization.</p> <p>Must be onsite 90% of the time in Lincoln, Nebraska until system is deemed stable by the State.</p>

Key Position	Qualifications	Start Date	Special Requirements
CMS Certification Manager	Previous experience managing a minimum of one CMS certification process is preferred. However, an individual with a minimum of three (3) years of experience in audit and audit management of information technology may be substituted for CMS certification experience.	TBD	<p>Must not serve in any other position.</p> <p>Must be 100 percent allocated to the project through certification.</p> <p>Must be onsite 90% of the time in Lincoln, Nebraska during the entire certification process.</p>

The State has identified a minimum of two key staff positions. The State requires the Contractor to provide additional key staff positions based on the Contractor's approach and plan for Initial Operations and CMS Certification. For the purposes of this contract, the Contractor must not employ or contract with any individual who has been debarred, suspended, or otherwise lawfully prohibited from participating in any public procurement activity or from participating in non-procurement activities under regulations issued under Executive Order 12549 or under guidelines implementing Executive Order 12549 [42 CFR 438.610(a) and (b), 42 CFR 1001.1901(b), and 42 CFR 1003.102(a) (2)]. The Contractor must screen all employees and subcontractors to determine whether any of them have been excluded from participation in Federal health care programs. The DHHS, Office of Inspector General website, which can be searched by the name of any individual, can be accessed at: <https://oig.hhs.gov/exclusions/index.asp>.

2. Requirements

Contractor must meet the following requirements:

ID	CMS Initial Operations and Certification Organizational Staffing
146	Must provide a resource utilization matrix detailing the Contractor's increased staffing levels to address go-live issues, preparation and planning for certification, and maintaining performance measures.
147	Must submit resumes of Key personnel to the State for approval.
148	Must relieve any of the Contractor's personnel from any further work under the Contract if in the State's sole discretion (i) the individual does not perform at the applicable skill level specified in the Contractor's Technical Proposal or elsewhere in the Contract, (ii) the individual does not deliver work that conforms to the performance standards stated in the RFP, the Contractor's Technical Proposal, and elsewhere in the Contract, or (iii) the person exhibits personal or professional conflicts with State personnel that hinder effective progress on the project. Upon being notified in writing by the State Contract Administrator that a member of the Contractor's personnel is unacceptable, the Contractor must immediately remove that individual from any assignments on the Contract. In the event that a member of the Contractor's personnel is removed pursuant to this paragraph, the process set out for submission of resumes, interviews, and approval must apply as if the person removed were among the Key Personnel.
149	With respect to all vacancies of Key Personnel during the DDI phase, must receive a credit the State an amount equal to the full-time labor cost including the Contractor's overhead and margin costs of the unavailable individual, prorated for each day or partial day the position is vacant until the position is satisfactorily filled. For vacancies due to any reason other than dismissal by the State, of the applicable individual, the credit must begin to accrue at the time the vacancy occurs. For vacancies that occur due to the State's request, the credit must begin to accrue on the sixtieth (60th) business day after the vacancy occurs. Key personnel must be replaced with individuals with comparable experience and qualifications as those submitted by the Contractor in the proposal pending State approval. The Contractor is required to submit resumes and allow the State to interview applicants as part of the approval process.
150	Must provide key personnel in accordance with III.D.1.
151	Must provide an interim resource within a maximum of five (5) business days for any key personnel vacancies regardless of the reason for the vacancy.
152	Must provide a certification manager to interact in tandem, with the State and the IV&V vendor.

ID	CMS Initial Operations and Certification Organizational Staffing
153	Must provide an adequate team of resources to monitor, track, and correct identified issues.
154	Must provide an adequate team of dedicated resources for preparation and support of CMS certification.
155	Must maintain an adequate number of staff to support the initial operations enhanced activities in addition to the normal operational staff.
156	Must provide and retain sufficient staff in the right mix, inclusive of technical (e.g. systems analysts, technicians) and non-technical (e.g. clerical, business analysts) resources to resolve issues and meet the requirements specified in this RFP, and the resulting contract.

3. Proposal Response

The bidder should respond to the following:

- a. Provide staffing model for the initial operations and certification phase including the initial resource utilization matrix.
- b. Identify additional key positions and qualifications within the bidder's organization required for the Initial Operations and Support Phase.
- c. Provide the bidder's organizational chart for this phase clearly indicating where the staffing supporting this phase fit within the bidder's overall organizational structure for Operations.
- d. Address the bidder's approach to fulfilling the key positions.
- e. Address the bidders approach to staff reductions upon completion of this phase.
- f. Provide metrics from a previous implementation including volume of issues, staffing volume, and resolution timeframe on issues.
- g. Describe approaches and processes to rapidly increase the number of trained and effective resources if issues require additional staff after go-live.
- h. Discuss how the approach has been successful with previous clients.

E. User Support

1. Overview

The State requires the Contractor to provide a high level of user support during initial operations to assist all authorized users with the utilization of the application. It is critical that a plan and process for comprehensive initial user support be established until the system is stable. It is also critical that the plan is well communicated to all authorized users as applicable. The goal is for all users to understand what to do when an issue arises, how the issues are going to be addressed, and how the user will be informed of the way the issue was addressed.

2. Requirements

The Contractor must meet the following requirements:

ID	CMS Cert User Support
157	Must provide a documented User Support Plan for user support during the initial operations and CMS certification phase.
158	Must provide user support through a fully functional user support help desk for authorized users. Users must have various contact options (e.g. email, online, phone).
159	Must provide users a means to alert user support personnel of their need for support when no one is available to take their call.
160	Must provide an adequate number of staff and expertise for the help desk.
161	Must prioritize and resolve issues coming into the help desk using mutually agreed upon severity definitions.
162	Must track, manage, and report on user support requests and statuses using the proposed tool.
163	Must facilitate issue status meetings with the State on a daily basis as directed by the State.
164	Must provide ongoing education and training of user support procedures and policies, particularly when a change in the process is needed or required.

3. Proposal Response

The bidder should respond to the following:

- a. Describe the methodology, approach and process for user support during initial operations through CMS certification.
- b. Discuss how the approach has been successful with previous clients.
- c. Provide samples of User Support Plan from previous projects.
- d. Include proposed hours of operation, service level measures and how 24 hour on-call support will be provided.
- e. Describe the help desk escalation procedures and expected response times.
- f. Provide a list of the top five support issues from a previous project and the resolution response times and describe corrective actions.

F. Contingency Planning

1. Overview

The Contractor must be prepared for issues that may occur during operations. The Contractor must maintain business continuity at all times. The State requires a comprehensive contingency plan from the Contractor that will reduce the time to resolve issues and avoid time taken to seek alternative approaches. The State is seeking an understanding of where points of failure may occur and how they will be mitigated. While the items listed may not be all inclusive, the bidder should identify those along with any other areas that may be pertinent to this plan and include them in the proposal.

2. Requirements

The Contractor must meet the following requirements:

ID	Initial Operations and CMS Certification Contingency
165	Must submit a contingency plan for initial operations within a minimum of 60 days prior to go-live. The plan at minimum is to address risks for initial operations that may potentially occur, how the risk will be monitored, and the plan to address the risk. The Contractor may combine this plan with the implementation and contingency plan referenced in the DDI phase.
166	Within a minimum of 120 days prior to the start of operations, must update the submitted contingency plan with potential risks that can occur during certification and associated risk monitoring and approach to address.

3. Proposal Response

The bidder should respond to the following:

- a. Describe the bidder's approach to managing risks during the initial operations and CMS certification phase.
- b. Discuss how the approach has been successful with previous clients.
- c. Provide examples of contingency plans used on previous projects.

IV. Operations Phase

A. Phase Overview

1. Overview

The Operations Phase begins immediately after implementation of the system and runs concurrently with the Initial Operations and Certification Phase. At this point, the system is in production and all daily business operations are in place and operational.

The requirements described in the Operations phase are mandatory and must be met immediately upon completion of the DDI Phase. This section describes the business, information and technology requirements that encompass day-to-day operations as expected throughout the duration of the base contract period and any extension periods. During this phase the State requires the Contractor to maintain the system and establish methods and processes to continually improve upon the operations and system that are within the scope of the Contractor's responsibilities.

MLTC is an organization of between 500 – 1,000 individuals who may need access to the DMA solution during operations to either view reports or perform queries in the solution.

2. Requirements

Contractor must meet the following requirements:

Operations Phase Overview	
167	Must perform all functions necessary to meet all operation requirements, performance, and service levels required for the Operations Phase.
168	Must coordinate and communicate with the State and other Contractors as necessary to provide expertise on the functions within the Contractor's scope of work in support of the State's business goals.
169	Must provide recommendations to the State for process and system improvements.

3. Proposal Response

The bidder should respond to the following:

- a. Provide an overview of the bidder's plan and approach for managing operations including continual improvement methods and processes.
- b. Discuss how the approach has been successful with previous clients.
- c. Describe how the bidder's solution will provide timely and actionable reporting and analysis which can be utilized by the program team to improve the responsiveness, nimbleness, and cost-effectiveness of Nebraska's Medicaid program.

B. Project Management and Systems Development Life Cycle (SDLC)

1. Overview

The State considers the use of recognized methodologies to control all operational project activities to be crucial, whether referring to maintenance of configuration items, management of major system enhancements, or general modifications to the system. The State anticipates that a Contractor's methods and approach may differ, even if only slightly, from the methods and approach used during the DDI phase.

The State requires the Contractor will have an established Operational Project Management Plan and System Development Life Cycle (SDLC) methodology that has been successfully used with projects of similar scope and size. The State is not dictating a specific SDLC methodology or approach in favor of allowing the Contractor to use its own approach for successful operational implementations. However, the State does reserve the right to require a corrective action plan and/or mandate an approach be revised if the Contractor fails to deliver quality on-time operational deliverables or implementations.

2. Requirements

The contractor must meet the following requirements:

ID	Project Management and SDLC
170	Must manage all aspects of the contract that affect operations, cost, schedule, and performance (scope and quality); including any risks, issues, opportunities, and resources that are under its control.
171	Must develop and submit for approval an Operational Project Management Plan describing the strategies, tactics, and procedures by which daily operations will be managed while maintaining the production system and implementing changes to the production system.
172	Must put into practice and follow the approved Operational SDLC Plan and submit for re-approval any changes to the approved plan.
173	Must employ a proven project management approach promoting the development of a strong working relationship and facilitating open and timely collaboration between the State, the Contractor, other Contractors, and project stakeholders.
174	Must employ a proven project management approach ensuring the transparency of management actions and project results so that all parties remain properly informed.
175	Must lead coordination with all other organizations whose participation is necessary for project success. The state must reasonably support the Contractor's coordination efforts.
176	Must prepare and submit the Integrated Master Schedule (IMS) for releases which addresses each phase of the PMLC and SDLC and must identify all integration points between all Contractors and the State including interfaces, inputs, and outputs that the Contractor requires from other Contractors, the State, or other entities.
177	Within the IMS, must at a minimum decompose all tasks starting within a 120-day forward window into the future. This 120-day view must be maintained from month-to-month to provide an appropriate level of visibility always providing this 120-day forward outlook. Any task exceeding 10 days in duration must be broken down to indicate subtasks detailing an appropriate level of work effort.
178	Must provide updated, compatible, weekly extracts (or any other interval requested by the State) of its IMS(s) to the State for import into MS Project and/or or CA Clarity PPM. Extracts must include, at a minimum, tasks, start dates, finish dates, resource assignments, and level of effort, duration, dependencies, constraints, % completion, milestones, predecessors and variances from baseline.
179	Must use a commercial, off-the-shelf project planning software for building and maintaining the IMS. However, if it uses software other than Microsoft Project, Project Server, or CA Clarity PPM, it must provide training for State project staff, provide a reasonable number of licenses for State designated use, and ensure compatibility with the State's computers.
180	Must provide all PMLC and SDLC deliverables included in the Contractor's proposed deliverable catalog in conformance with the provided templates, instructions, and procedures and of the quality of the provided examples used on previous projects. Any templates or forms developed during the course of the project must be submitted for review and approval by the State prior to their use.
181	Must perform work in accordance with the approved IMS timeframes.
182	Must perform cohesive project management in all aspects of operational planning, organizing, staffing, scheduling, and monitoring.
183	Must ensure the transparency of operational management plans, actions and outcomes so that all stakeholders remain properly informed.
184	Must implement and monitor an internal quality control process to ensure that all deliverables, documents, and reports are complete, accurate, easy to understand, and of high quality. Include a process to record and address corrective and preventive actions.
185	Must include in the proposed Operational Project Management Plan all integration points between all Contractors, organizations, and the State including interfaces, inputs, and outputs required from other Contractors, organizations, or the State.
186	Must put into practice and follow the approved Operational Project Management Plan and submit for re-approval any changes to the approved plan.
187	Must schedule, attend, and facilitate recurring Operational Project Management status meetings with the State on an agreed upon schedule.
188	Must perform production support, and employ sound SDLC methodologies to implement system changes and enhancements while maintaining production system operations.
189	Must develop and submit for approval, an Operational Communications Management Plan that demonstrates what will be communicated, to whom, using which channels for information sharing and at what intervals. The plan must demonstrate the process for originating, reviewing and approving communications to State, other impacted Contractors, and organizations.

ID	Project Management and SDLC
190	Must put into practice and follow the approved Operational Communications Management Plan and submit for re-approval any changes to the approved plan.
191	Must develop and submit for approval an Operational System Development Life Cycle (SDLC) Plan; defining the methodologies, approach, and processes that will be followed during each phase of the SDLC.
192	Must provide project planning software training for State project staff, provide approximately fifteen (15) licenses for State use, and ensure compatibility with the State's computers if utilizing software other than MS Project and/or CA Clarity PPM.

3. Proposal Response

The bidder should respond to the following:

- a. Describe the bidder's methodology, approach, and processes for Project Management during Operations. Define how this methodology differs between DDI and Operations.
- b. Discuss how the approach has been successful with previous clients.
- c. Describe the bidder's methodology, approach, and processes for System Development Life Cycle during Operations.
- d. Describe how bidder intends to manage and control updates to its project plan(s) and baselines, including the frequency of updates.
- e. Describe how Operational Project Management, Quality Management, Operational Change Management and SDLC plans are designed to work together.
- f. Describe what standard(s) the bidder's proposed methodologies are based upon or consistent with.
- g. Provide examples of Operational Project Management Plan deliverables used by previous contracts. If the bidder utilizes the same deliverable in operations as in DDI, additional operation examples are not necessary.

C. Performance and Status Reporting

1. Status Reporting

a. Overview

During the Operations phase, the State requires performance and status reporting to understand operational status, project progress and modifications. Status updates must cover the needs and interests of all stakeholders. The anticipated minimum status reporting needs are:

Timeframe	Audience	Information Needed
Weekly	Contract Manager	Release schedule status Upcoming resource needs Operations risks and issues Weekly operations activity report
Monthly	Executive	Milestone status of major projects Monthly performance measure compliance Executive level risks and issues External communications
Quarterly	Governor Legislature	Overall project status Major accomplishments Constituent impacts

b. **Requirements**

The Contractor must meet the following requirements:

ID	Status Reporting
193	Must communicate critical issues or failures to the contract manager as soon as practical without interfering with the resolution of the critical issue or failure.
194	Must prepare and submit a weekly status report.
195	Must prepare and submit a monthly status report.
196	Must prepare and submit a quarterly status report.
197	Must prepare and submit other status materials as necessary and required in support of the State pursuant to the scope of the Contractor's work.

c. **Proposal Response**

The bidder should respond to the following:

- i. Describe the bidder's process for capturing status on activities at a detailed level and reporting the information as needed based on status reporting audience.
- ii. Describe the bidder's methods and approach for reporting status on operational performance measures.
- iii. Discuss how the approach has been successful with previous clients.
- iv. Provide examples of similar status reports used by previous projects.

2. Performance

a. **Overview**

The Contractor is responsible for timely performance and completion of operational requirements and deliverables.

The Contractor must develop methods and procedures to monitor and calculate its performance compared to the Performance Measures identified in the Attachment C, Performance Measures. The methods and procedures must meet with the State's approval and such approval will not unreasonably be withheld. The Contractor must submit with the monthly operations invoice a self-attestation of each performance measure's results and deduct any performance penalties from the invoice. The attestation and penalties must be accurate.

The Contractor must submit the detailed data for all performance measures electronically to the State for review. The State may use this detailed data to develop a dashboard for all performance measures. The dashboard must clearly indicate measures which are missed, the number of times each measure has been missed, and the number of times the Contractor was determined to be at fault for the contract period. A renewal term will be considered a new contract period for purposes of this calculation. The Contractor must submit its methodology for determining performance measures for State approval.

Performance Measures have been assigned a numeric impact severity level number. If the Contractor fails to meet a Performance Measure, the Contractor will deduct the penalty from the Contractor's monthly invoice according to the schedule below. In addition, the Contractor must prepare and submit a corrective action plan to the State.

The State may, at its sole discretion, waive a penalty for extenuating circumstances. Waiver of the penalty for a failure to meet a performance measure waives the failure in terms of the penalty calculations if the failure was due to no fault of the Contractor. For example, the Contractor misses a severity level 5 measure for the first time and the State waives the penalty due to the Contractor's submitted extenuating circumstances. Two months later, the Contractor misses the same measure and the State does not waive the penalty. The penalty amount for the second failure is one thousand dollars (\$1,000). One thousand dollars (\$1,000) multiplied by one (1) occurrence for which the measure has failed due to the fault of the Contractor. The State intends for the Contractor to establish

processes which are capable of consistently meeting the performance measure unless an unavoidable special cause is introduced.

Impact Severity Level	Penalty for Failure to meet Performance Measure
1	<p>Ten thousand dollars (\$10,000.00) penalty for the first occurrence of a specific failure where the Contractor was at fault.</p> <p>Ten thousand dollars multiplied by the total number of occurrences of a specific failure is the penalty for each subsequent occurrence of the same performance measure that is unmet. Subsequent occurrences can be non-sequential and will accumulate for the duration of the each contract period.</p> <p>For example, failure to meet the same performance measure for four (4) occurrences would result in an accumulated penalty of one hundred thousand dollars - \$10,000 (first occurrence), \$20,000 (second occurrence), \$30,000 (third occurrence), and \$40,000 (fourth occurrence) where the Contractor was at fault .</p>
2	<p>Seven thousand dollars (\$7,000.00) penalty for the first occurrence of a specific failure where the Contractor was at fault.</p> <p>Seven thousand dollars multiplied by the total number of occurrences of a specific failure is the penalty for each subsequent occurrence of the same performance measure that is unmet. Subsequent occurrences can be non-sequential and will accumulate for the duration of the each contract period.</p>
3	<p>Four thousand dollars (\$4,000.00) penalty for the first occurrence of each specific failure.</p> <p>Four thousand dollars multiplied by the total number of occurrences of a specific failure is the penalty for each subsequent occurrence of the same performance measure that is unmet. Subsequent occurrences can be non-sequential and will accumulate for the duration of the each contract period.</p>
4	<p>Two thousand dollars (\$2,000.00) penalty for the first occurrence of each specific failure.</p> <p>Two thousand dollars multiplied by the total number of occurrences of a specific failure is the penalty for each subsequent occurrence of the same performance measure that is unmet. Subsequent occurrences can be non-sequential and will accumulate for the duration of the each contract period.</p>
5	<p>One thousand dollars (\$1,000.00) penalty for the first occurrence of each specific failure.</p> <p>One thousand dollars multiplied by the total number of occurrences of a specific failure is the penalty for each subsequent occurrence the same performance measure that is unmet. Subsequent occurrences can be non-sequential and will accumulate for the duration of the each contract period.</p>

Penalties are not considered damages and do not preclude the State from assessing State incurred actual damages resulting from Contractor's deficiencies in performance.

b. Requirements

The Contractor must meet the following requirements:

ID	Performance
198	Must deduct the penalty from the Contractor's monthly invoice unless a waiver is obtained in writing from the State contract manager
199	Must develop and implement corrective action plans as requested by the State.
200	Must report on performance measures with a minimum of a rolling eighteen months of data identifying trending on the increasing or decreasing performance over time. (Note: the State realizes that the Contractor will not be able to provide eighteen months of data until eighteen months of operations is completed.)

c. Proposal Response

The bidder should respond to the following:

- i. Provide the bidder's proposed template for reporting performance measure compliance.
- ii. Provide the bidder's corrective action plan template including instructions and procedures for completing the template.

- iii. Provide examples of similar corrective action plans utilized by previous projects.
- iv. Provide a description of how the bidder plans to monitor, manage and achieve all performance measures.

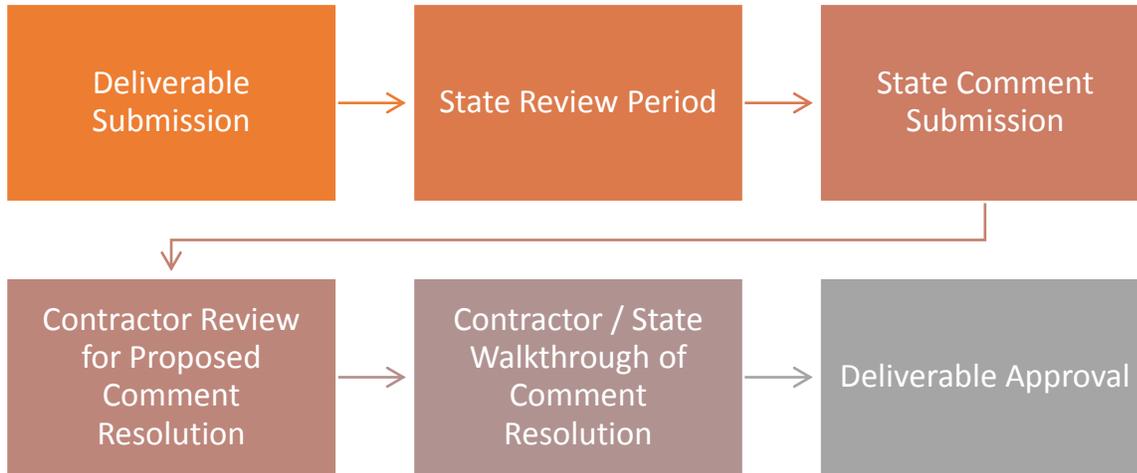
D. Deliverables

1. Overview

During Operations the Contractor will have deliverables to submit as well as changes to the original DDI deliverables as a result of changes approved through the change management process.

2. Review and Approval

Regardless of the deliverables provided, the State or designated agents have the responsibility to review and approve Contractor deliverables prior to production implementation. Deliverables and updates to deliverables must be submitted to the State for approval. The project must adhere to the following review process. The goal of the review process is to avoid multiple resubmissions and returns.



Process Step	Details
Deliverable Submission	The Contractor submits the deliverable to the State. In instances with environments and working product, the deliverable submission may be an attestation that the deliverable is complete and ready for review.
State Review Period	The State will review the deliverable within the time period agreed to within the final deliverable catalog to provide comment. In instances where a deliverable is not documentation, the State is open to Contractor proposed review methods and approaches to take place within the proposed time period.
State Comment Submission	The State submits comments to the Contractor for resolution. In instances where the Contractor proposes a walkthrough, the comments may be comments provided in the walkthrough. If the Contractor proposes a walkthrough in support of the State review, the Contractor must be expected to capture the comments made within the walkthrough for resolution.
Contractor Review for Proposed Comment Resolution	The Contractor must review all State comments and document the Contractor's proposed resolution to the comment. If a document change is made, the document with changes will be made with tracked changes.
Contractor / State Walkthrough of Comment Resolution	The State and Contractor must identify the participants from the respective organizations for the comment resolution walkthrough. The representatives will jointly review the proposed resolution to the comments. The expectation is that both the State and Contractor must be reasonable in comment resolution. The review meetings will continue until agreement between the State and

Process Step	Details
	Contractor is reached on the resolution of all comments or it is clear that agreement will not be reached at which time the deliverable approval will be escalated as an issue pursuant to the governance model.
Deliverable Approval	The Contractor must submit the final deliverable agreed upon in the previous process step with signed approval from the designed walkthrough attendees from the State and contractor for final approval.

3. Requirements

The Contractor must meet the following requirements:

ID	Operations Requirements
201	Must provide all documentation deliverables included in the Contractor's proposed deliverable catalog in conformance with and of the quality of the provided examples submitted with the proposal.
202	Must perform work and submit deliverables for State review and approval in accordance with the approved frequency as identified in the deliverable catalog.
203	Must maintain a status report detailing progress and completion of all approved deliverables.

4. Proposal Response

Complete the deliverable section of the deliverable catalog provided in Attachment A - Deliverable Catalog for each deliverable the bidder proposes to provide in the Operations Phase. Instructions for completing the Catalog are included in Attachment A - Deliverable Catalog.

For non-documentation deliverables, provide a clear explanation of how the bidder will provide the deliverable in a manner in which the State can review, comment upon, and approve the deliverable. Include examples that are representative of what the State will see on the contract.

E. Quality Assurance and Monitoring

1. Overview

The State requires a comprehensive Operations Quality Assurance Plan to ensure efficiency, compliance and performance monitoring to reduce risk and minimize downstream defects. Consistent monitoring should ensure adherence to the quality plan and identify defects in deliverables. The Contractor should collaborate closely with the State on quality planning and monitoring.

A collaborative approach to quality will:

- a. Ensure that input and recommendations are promoted and documented in a timely manner.
- b. Promote early identification and prevention of problems.
- c. Share solutions and institute process improvement to avoid similar issues in the future.
- d. Communicate changes that impact general work procedures and standards.
- e. Foster planning and implementation of proactive improvements.

Quality Assurance and Monitoring encompass all Contractor's products and services, including documentation, software products, reports, environments, and any other deliverables proposed by the Contractor.

2. Requirements

Contractor must meet the following requirements:

ID	Quality Assurance
204	Must develop and put into practice a comprehensive Operations Quality Management Plan to infuse quality throughout operations.
205	Must update and follow the Operations Quality Management Plan and documented procedures as applicable during the operational phase.
206	Must use the Operations Quality Management Plan for all changes made during the operational phase supporting the terms of this contract.

ID	Quality Assurance
207	Must record and address corrective and preventive actions within the timeframe specified by the State.
208	Must maintain and put into practice a test plan for testing of any changes to the provided solutions.
209	Must use a proven tool to identify and track defects and SLA deficiencies.
210	Must use a rating system for defects.
211	Must conduct internal quality reviews for all deliverables before the deliverables are submitted to the State.
212	Must establish and maintain written internal quality assurance policies for meeting the requirements of this contract.

3. Proposal Response

The bidder should respond to the following:

- a. Describe the bidder's approach to quality management.
- b. Discuss how the approach has been successful with previous clients.
- c. Provide a sample of an Operations Quality Management Plan used on a similar project. If the bidder utilizes the same deliverable in operations as in DDI, additional operation examples are not necessary.
- d. Describe how the bidder will follow the Operations Quality Management Plan.
- e. List any expected changes the bidder will make to the Quality Management Plan for transitioning from DDI to Operations.
- f. Describe the bidder's methodology for continual improvement of operations.
- g. Describe the bidder's procedure for providing feedback to employees of quality monitoring results.
- h. Describe measures taken to proactively identify and resolve quality issues throughout the operations phase of the contract.
- i. Describe the bidder's approach to testing of changes to the provided solutions.

F. Change Management

1. Overview

Change Management addresses the process that the Contractor must take to manage changes within the project. The State and the Contractor, upon the written agreement, may make changes to the contract within the general scope of the RFP. Changes may involve specifications, the quantity of work, or such other items as the State may find necessary or desirable. Corrections of any deliverable, service, or work required pursuant to the contract shall not be deemed a change. The Contractor may not claim forfeiture of the contract by reasons of such changes.

The Contractor shall prepare a written description of the work required due to the change and an itemized cost sheet for the change. Changes in work and the amount of compensation to be paid to the Contractor shall be determined in accordance with applicable unit prices, per the cost proposal labor category rate, or a pro-rated value. The State shall not incur a price increase for changes that should have been included in the Contractor's proposal, where foreseeable at the time of the bid, or result from difficulties with or failure of the Contractor's proposal or performance.

No change shall be implemented by the Contractor until approved by the State, and the Contract is amended to reflect the change and associated costs, if any. If there is a dispute regarding the cost, but both parties agree that immediate implementation is necessary, the change may be implemented, and cost negotiations may continue with both Parties retaining all remedies available under the contract.

2. Requirements

The Contractor must meet the following requirements:

ID	Change Management
213	Must establish a process to track and manage change requests for the duration of the contract. Contractor must track, at a minimum, the change description, origin, status, target implementation date, and actual implementation date. The process must accommodate escalation and disposition of change requests escalated to the project or organizational change control approval levels.
214	Must analyze all change requests and submit an assessment to the State within a maximum of thirty (30) days of the request. At a minimum, the assessment must include resource estimates, cost, schedule, and impacts to external entities and business operations. The Contractor is expected to provide both a time and materials estimate and a fixed price estimate.
215	Must support discussions and meetings on the disposition of change requests with the necessary team members to enable decision making.
216	Must perform a MITA assessment of all change requests and coordinate with the State's MITA Coordinator.
217	Must submit all change requests and analysis results to the State for disposition and prioritization.
218	Must develop and submit for approval a Business and System Requirements Document (BSRD) for each proposed system change.
219	Must include at a minimum in the BSRD; all impacted 'as-is' and 'to-be' business and system processes, with corresponding business and system solution requirements.
220	Must adhere to all Project Management and SDLC requirements for all system changes.
221	Must develop and submit for approval an Operational System Release Schedule for all system changes that will be implemented in the upcoming months.
222	Must put into practice and follow an approved Operational System Release Schedule and submit for re-approval any changes to the approved schedule.
223	Must design, develop, test, and implement approved system changes within the approved Operational System Release Schedule timeframes, throughout the duration of the contract.
224	Must develop and submit for approval a detailed Integrated Master Schedule (IMS) for each upcoming system release addressing each phase of the SDLC and identifying all integration points and dependencies between all Contractors and the State including interfaces, inputs, and outputs that the Contractor requires from other Contractors, the State, or other impacted entities.
225	Must request and receive final State approval prior to implementing a change into production.
226	Must implement system changes in a manner with the least possible impact to the project timeframes and budget while maintaining a high quality delivery.
227	Must provide the ability to rapidly revert to the previous system configuration when a newly implemented change causes an undesirable impact.
228	Must develop and submit for approval a remediation plan for reconfiguration and redeployment when a newly implemented change causes an undesirable impact.
229	Must schedule, attend, and facilitate system change development activities with the necessary internal and external stakeholders impacted by the change to define requirements, roles, and responsibilities.
230	Must submit a monthly detailed accounting of the work performed by each individual billing time to a system change within the monthly status report.
231	Must include in the monthly status report to the State information regarding all system changes implemented within the previous month. At a minimum, the report will include actual vs. estimated schedule, hours, cost, and resources.
232	Must include in the monthly status report to the State all projected system changes that will be implemented in the upcoming months. At a minimum, the report will include the projected schedule, estimated hours, cost, and resources.
233	Must monitor changes in Federal and State laws and rules for impacts to operations that require system changes.
234	Must fully test system changes prior to inclusion in the production environment.
235	Must coordinate external testing with agencies if deemed appropriate by the State.

ID	Change Management
236	Must perform and test interfaces with the various interface partners as system changes are planned. Once system changes are implemented, post production monitoring must occur for a period of time specified by the State.
237	Must implement approved changes and additions to the system based on Business Rules and/or Policies in accordance with the agreed upon schedule.
238	Must provide a system-inherent mechanism for recording any change to a software module or subsystem.
239	Must develop, implement, and maintain a Configuration Management process that includes procedures to track and manage hardware and software inventories installed and the combination of hardware and software residing on each component of equipment.
240	Must implement the Configuration Management process within a maximum of fifteen (15) calendar days after receipt of approval by the State
241	Must conform to future Federal and/or the State-specific standards for data exchange a minimum of 90 calendar days prior to the standard's effective date, as directed by CMS or the State.
242	Must support system updates or changes by drafting the appropriate revisions to the documentation, and forward them to the State for review and approval a minimum of 45 calendar days prior to intended implementation. Upon the State approval, the Contractor must prepare revisions to the appropriate manuals before implementing the system changes.
243	Must support discussions and meetings on the disposition of change requests with the necessary team members to enable decision making.

3. Proposal Response

The bidder should respond to the following:

- a. Describe the bidder's methodology, approach, and processes for change management during Operations. Define how this methodology differs between DDI and Operations.
- b. Discuss how the approach has been successful with previous clients.
- c. Describe what standard(s) the bidder's proposed methodologies are based upon or consistent with.
- d. Describe how the bidder will track and manage change requests.
- e. Describe change request tracking methodologies utilized by previous contracts.
- f. Provide examples of bidder's proposed Operational System Release Schedule utilized by previous contracts.
- g. Describe the types of change requests historically received by the bidder and the typical resource mix (percent of hours) by resource category contained in the bidder's pricing proposal utilized to complete the change requests.
- h. Describe how the bidder's approach to product maintenance will adapt to newly defined Federal and State laws, rules, and mandates for no additional cost to the State.

G. Data and Record Retention

1. Overview

All data to be contained in the proposed solution will be subject to Federal and State requirements related to data and record retention. These requirements relate to not only retaining the data, but archiving it and having the ability to access or recover the archived data when necessary. To get to the operations stage, the data will need to adhere to the RFP requirements. Data Retention and Archive Plans describing cost effective approaches are most desirable to the State. Data Reconciliation Plans that clearly depict the Contractor's approach to validate the accuracy, consistency and completeness in a timely manner will also be desirable.

2. Requirements

Contractor must meet the following requirements:

ID	Operations Data and Record Retention
244	Must conduct data refreshes when necessary, that are recoverable.
245	Must provide access to all data including metadata, to authorized users.
246	Must continue to follow the State approved Data Retention and Archive Plan.
247	Must submit a Data Reconciliation Plan for State approval and execute per the approved plan.
248	Must comply with all applicable Federal and State data retention and archival rules, regulations, and requirements for all program information, data, and correspondence that is received and produced through the solution.
249	Must restore archived data for viewing, printing, and exporting to files as requested by the State.
250	Must continue to provide and maintain a secure environment(s) that ensures confidentiality of all State records and other confidential information regardless of media or location.
251	Must archive and purge archived data in accordance with the State archival and purge schedules for all media types.
252	Must retain all data and other "records" relating to the acquisition and performance of the Contract for a period of six (6) years after the completion of the Contract.
253	Must store estate recovery data as provided by the State from 2006 forward.
254	Must retain all data history on-line for a period of time defined by the State.
255	Must archive all data received from the State outside of the defined on-line time period in a format that allows access so that reports may be generated from this data within a maximum of 48 hours of a request from the State.

3. Proposal Response

The bidder should respond to the following:

- a. Description of the approach to the data refresh strategy and methodology that includes the processes, identifies the tools, and describes the validation process
- b. Discuss how the approach has been successful with previous clients.
- c. Description of how data will be accessed by authorized users. Include any unique or innovative features and advantages/benefits that makes the solution unique to standard functionality.
- d. Description of the Data Retention and Archive Plan strategy and methodology.
- e. Description of checklists, metrics and tools that the bidder plans to use to measure and assess the quality and accuracy of the data
- f. Sample Data Retention and Archive Plan from a previous project
- g. Description of the Data Reconciliation Plan strategy and methodology
- h. Description of the recovery procedures including resources and timing, in the event of a data issue
- i. Sample Data Reconciliation Plan from a previous project
- j. Describe the scope of non-State-owned data sources used by the bidder's solution and how they augment that solution

H. Business Continuity and Disaster Recovery

1. Overview

The Contractor must provide a Business Continuity and Disaster Recovery plan for the Operations Phase of this contract. The plan must be approved by the State and implemented prior to the start of operations.

The Contractors approach must integrate with the State's overall Disaster Recovery Plan and describe in detail the procedures necessary to recover the operational system.

2. Requirements

The Contractor must meet the following requirements:

ID	Operations Business Continuity and Disaster Recovery
256	Must provide a Business Continuity and Disaster Recovery Plan that includes strategy, methodology, process, tools, quality and contingency aspects.
257	Must provide mission critical services as defined by the State that must not be interrupted.
258	Must perform periodic testing to demonstrate that the Business Continuity and Disaster Recovery Plan is correctly implemented and operational and comply with prescribed recovery timelines.
259	Must maintain system redundancy as identified in the Business Continuity and Disaster Recovery Plan and approved by the State.
260	Must allow MLTC to perform on-site review of data center area that houses solution servers and redundant hardware.
261	Must regularly maintain full back up of all data and software at a secure off-site location.
262	Must establish and adhere to fail-safe back-up and recovery procedures.
263	Must demonstrate readiness to re-establish a production environment in the event of a disaster.
264	Must ensure, in the event of a declared major failure or disaster, the DMA must be back online within 48 hours of the failure or disaster.
265	Must notify the State within a maximum of 15 minutes of discovery of any problem when the problem results in delays in report distribution or problems with online access to critical system functions and information during a business day,
266	Must provide a minimum of hourly updates to the State on information system outages, including problem resolution. At a minimum, these updates must be provided via email or telephone.
267	Must ensure that upon discovery of any problem within its span of control that may jeopardize or is jeopardizing the availability and performance of critical system functions and information, including any problems affecting scheduled exchanges of data, the Contractor must notify the State within a maximum of 60 minutes of such discovery. In its notification, the Contractor must explain in detail the impact to critical path processes, such as enrollment management. a maximum of
268	Must resolve unscheduled outages of critical system function caused by a failure of systems and telecommunications technologies within the Contractor's span of control, within a maximum of 60 minutes of the official declaration of system outage. Unscheduled system outages of any other DMA information system functions caused by system and telecommunications technologies within the Contractor's span of control must be resolved within a maximum of eight (8) hours of the official declaration of system outage.
269	Must, within a maximum of five (5) business days of the occurrence of a system availability problem, provide the State with full written documentation that includes a root cause analysis and a corrective action plan describing how the Contractor will prevent the problem from occurring again.
270	Must ensure that critical system functions, as determined by the State, will be available twenty-four (24) hours a day, seven (7) days a week. Maintenance and down time must be scheduled and approved by the State. All unscheduled downtime must be reported to the State immediately, with stated corrective action and workarounds.
271	Must ensure that, at a minimum, all non-critical system functions and information are available to the appropriate system users between the hours of 7:00 am and 7:00 pm, central time, Monday through Friday.
272	Must provide, implement, maintain, and be continually ready to implement, a contingency plan that must include a disaster recovery plan (DRP) and a business continuity plan (BCP). A DRP is designed to recover systems, networks, workstations, applications, etc., in the event of a disaster. A BCP must focus on restoring the operational function of the organization in the event of a disaster and includes items related to IT, as well as operational items, such as employee notification processes and the procurement of office space, equipment, and supplies needed to do business in emergency mode.

ID	Operations Business Continuity and Disaster Recovery
273	<p>Must provide, implement, maintain, and be continually ready to implement, a contingency plan that must address the following scenarios:</p> <ul style="list-style-type: none"> • The central computer installation and resident software are damaged or destroyed. • System interruption or failure that result from network, operating hardware, software, or operations errors that compromise the integrity of transactions that are active in a live system at the time of the outage. • System interruption or failure that result from network, operating hardware, software, or operations errors that compromise the integrity of data maintained in a live or archival system. • System interruption or failure that result from network, operating hardware, software, or operational errors that do not compromise the integrity of transactions or data maintained in a live or archival system, but prevents access to the system, such as causing unscheduled system unavailability. <p>The plan must specify projected recovery times and data loss for mission-critical systems in the event of a declared disaster.</p>
274	<p>Must annually test its plan through simulated disasters and lower level failures in order to demonstrate to the State that it can restore systems functions on a timely basis. In the event the Contractor fails to demonstrate through these tests that it can restore systems functions, the Contractor must submit a corrective action plan to the State describing how the failure will be resolved within a maximum of ten (10) business days of the conclusion of the test.</p>
275	<p>Must provide for off-site storage and remote back-up capabilities that that comply with all applicable state and Federal laws, rules and regulations.</p>
276	<p>Must provide remote back-up that includes operating instructions, procedures, reference files, system documentation, and operational files.</p>
277	<p>Must provide data back-up and restoration policy and procedures that include, but not be limited to:</p> <ul style="list-style-type: none"> • Descriptions of the controls for back-up processing, including how frequently back-ups occur, and target restoration times. • Documented back-up and restoration procedures. • Location of where data will be backed up (off-site or on-site, as applicable). • Identification and description of what is being backed up as part of the back-up plan. • Any change in back-up procedures in relation to the DMA's technology changes.
278	<p>Must provide a list of all back-up files to be stored at remote locations, which must be approved by the State before tapes are moved off-site.</p>

3. Proposal Response

The bidder should respond to the following:

- a. Provide a description of The bidder's methodology and approach to implementation of the Business Continuity and Disaster Recovery Plan that clearly articulates the activities of the process including the various levels of criticality, failover and redundancy of key system aspects, alternate processing methods, data center specifications, testing, maintenance, and staffing.
- b. Discuss how the approach has been successful with previous clients.
- c. Describe the periodic testing protocol and frequency of testing.
- d. Describe back up process and secure offsite storage plan
- e. Provide a sample business continuity and disaster recovery plan from a previous project.
- f. Provide examples of the proposed Business Continuity and Disaster Recovery Plan standard deliverables utilized by previous projects. If the bidder utilizes the same deliverables in operations as in DDI, additional operation examples are not necessary
- g. Provide a description of how business continues during the disaster.
- h. Provide a description of approach, method, and samples of root cause analysis reporting for unscheduled downtime.

I. Facility

1. Overview

During the Operations Phase, the Contractor is expected to provide and maintain a suitable facility in which the Contractor will perform operations tasks. It is essential for collaboration, project planning, and other activities. The State requires the facility to remain open and operational during the duration of the contract.

2. Requirements

a. Requirements for Operations and Maintaining a Facility

ID	Must develop and submit for State approval an Operations Facility Plan.
279	Must develop and submit for State approval an Operations Facility Plan.
280	Must equip the facility with security equipment ensuring that only authorized individuals are allowed access and internal and external video surveillance.
281	Must provide and maintain a secured facility with access as specified by the State that is ADA compliant.
282	Must maintain a secure server room with appropriate HVAC and security for any application servers located on site at the Contractors facility.
283	Must equip the Contractor facility with connectivity as required for any and all Contractor personnel.
284	Must provide all office equipment needed by Contractor personnel while assigned to the DMA contract, including PCs, printers, software, and other necessary office equipment.
285	Must provide State access to Contractor's office space as requested during regular business hours.
286	Must provide off-site facilities for storage with secured access.

b. Requirements for Operations and Closing a Facility

ID	Operations Facility Closing
287	Must develop and submit for State approval an Operations Facility Closing Plan.

3. Proposal Response

The bidder should respond to the following:

- a. Describe the bidder's methodology, approach, and processes for the Operations Facility.
- b. Discuss how the approach has been successful with previous clients.
- c. Provide an overview and describe the bidder's locations and facilities where work will be performed.
- d. Describe the bidder's facility needs at the State facility.
- e. Describe the bidder's approach for power and network back-up strategy to minimize project work impacts due to outages.
- f. Provide a description of the bidder's controlled access methods for each facility.

J. Organizational Staffing

1. Overview

The Operations staffing begins at the start of the Operations Phase. The State anticipates that operational staffing needs will decrease from the number of resources that supported the DDI and Certification Phases. The State requires the bidders to provide key personnel that have employment experience in similar types of complex projects with experience that is applicable to the positions being proposed. A focus on qualified and experienced key personnel will be viewed as a reduction in project risk. The State requires that all identified resources are 100% dedicated to this project unless prior approved by the State.

a. **Required Key Positions**

The following are the key personnel for Operations:

Key Position	Qualifications	Start Date	Special Requirements	Position Description
Account Manager	A minimum of five (5) years of experience in managing or in a key management position for a large-scale healthcare data warehouse operations project Previous responsibility for managing subcontractor resources, if subcontractors are included as part of this proposal.	Two months prior to beginning of Operations Phase	Must be onsite as needed at the department's facility in Lincoln, Nebraska.	The Account Manager has overall responsibility and accountability for all aspects of the contract as well as the application solution. The account manager serves as the Contractor's single point of contact for MLTC.
Privacy and Security Manager	A minimum of three (3) years of experience managing Privacy and Security for healthcare. Demonstrated experience and knowledge of Privacy and Security standards and best practices regarding large-scale and enterprise-level projects. Certification in privacy and security from a nationally recognized standards organization.	Two months prior to beginning of Operations Phase		The Privacy and Security Manager is responsible for the overall physical and network security of the Contractor's solution. This position is also responsible for the Contractor's adherence to all HIPAA Privacy laws as they apply to the contract.
Application Solution Expert	A minimum of three (3) years experience in the utilization of the Contractor's proposed solution.	Two months prior to beginning of Operations Phase	Must be 100 percent allocated to the Project throughout the Operations Phase. Must reside on site at the department's facility.	The Application Solution Expert serves as a single point of contact for MLTC in all areas of application utilization. The Application Solution Expert is expected to have a comprehensive understanding of the Contractor's solution with the ability to resolve complex user issues.

The State has identified a minimum set of key staff positions. The State requires the Contractor to provide additional key staff positions based on the Contractor's approach and plan for Operations. For the purposes of this contract, the Contractor must not employ or contract with any individual who has been debarred, suspended, or otherwise lawfully prohibited from participating in any public procurement activity or from participating in non-procurement activities under regulations issued under Executive Order 12549 or under guidelines implementing Executive Order 12549 [42 CFR 438.610(a) and (b), 42 CFR 1001.1901(b), and 42 CFR 1003.102(a) (2)]. The Contractor must screen all employees and subcontractors to determine whether any of them have been excluded from participation in Federal health care programs. The DHHS, Office of Inspector General website, which can be searched by the name of any individual, can be accessed at: <https://oig.hhs.gov/exclusions/index.asp>.

2. Requirements

Contractor must meet the following requirements:

ID	Operations Organizational Staffing Requirements
288	Must provide a Staffing Plan detailing the Contractor's staffing levels throughout the duration of the contract to maintain performance measures and support ongoing operations. Plan must include key position qualifications, expected number of resources per position, and hours expected per resource.
289	Must perform criminal background investigations on all personnel and follow-up investigations every five (5) years.
290	Must submit resumes of Key personnel to the State for approval.
291	Must relieve any of the Contractor's personnel from any further work under the Contract if in the State's sole discretion (i) the individual does not perform at the applicable skill level specified in the Contractor's Technical Proposal or elsewhere in the Contract, (ii) the individual does not deliver work that conforms to the performance standards stated in the RFP, the Contractor's Technical Proposal, and elsewhere in the Contract, or (iii) the person exhibits personal or professional conflicts with State personnel that hinder effective progress on the project. Upon being notified in writing by the State Contract Administrator that a member of the Contractor's personnel is unacceptable, the Contractor must immediately remove that individual from any assignments on the Contract. In the event that a member of the Contractor's personnel is removed pursuant to this paragraph, the process set out for submission of resumes, interviews, and approval must apply as if the person removed were among the Key Personnel.
292	With respect to all vacancies of Key Personnel during the DDI phase, must receive a credit the State an amount equal to the full-time labor cost including the Contractor's overhead and margin costs of the unavailable individual, prorated for each day or partial day the position is vacant until the position is satisfactorily filled. For vacancies due to any reason other than dismissal by the State, of the applicable individual, the credit must begin to accrue at the time the vacancy occurs. For vacancies that occur due to the State's request, the credit must begin to accrue on the sixtieth (60th) business day after the vacancy occurs. Key personnel must be replaced with individuals with comparable experience and qualifications as those submitted by the Contractor in the proposal pending State approval. The Contractor is required to submit resumes and allow the State to interview applicants as part of the approval process.
293	Must provide key personnel in accordance with Appendix A – Statement of Work Section IV.J.1.a Required Key Positions
294	Must provide an interim resource within a maximum of five (5) business days for any key personnel vacancies regardless of the reason for the vacancy.
295	Must provide an Account Manager that is accountable for the contract, maintains responsibility for all requirements of the contract, has complete decision making authority, and serves as the dedicated point person to interact with the State and other Contractors
296	Must provide a Privacy and Security Manager to maintain all physical and technical HIPAA privacy and security requirements.
297	Must provide a Subject Matter Expert that is proficient in the operation of the Contractor's application, understands Nebraska specific data and assists the department in day to day troubleshooting, product support, analysis and query development. The Subject Matter Expert must train department staff in these competencies so that department staff become proficient in these areas.
298	Must provide a helpdesk with an adequate number of staff and expertise to assist state users with application support.
299	Must provide and maintain an updated Organizational Chart with corporate escalation paths on a monthly basis.
300	Must acquire State approval for key staff and key staff replacements.
301	Must provide and retain a team and sufficient staff in the right mix, inclusive of technical (e.g. systems analysts, technicians) and non-technical (e.g. clerical, business analysts) resources to complete the services and meet the requirements specified in this RFP, and if applicable, in the resulting contract.
302	Must provide and maintain an updated project contact list.

3. Proposal Response

The bidder should respond to the following:

- a. Bidder's approach to employing a competent staff that interacts professionally with the State staff
- b. Discuss how the approach has been successful with previous clients.
- c. An example Staffing Plan
- d. Names and resumes of all required key positions with references

K. Documentation

1. Overview

The development of the majority of documentation should be complete by the end of the DDI phase and the repository to house this information is expected to be in place. During the Operations phase documentation should be updated for changes in operations and submitted to the State for approval of the revised deliverable. The State or its designated agents have the responsibility to review and approve all operational and technical documentation.

2. Requirements

Contractor must meet the following requirements:

ID	Operations Documentation
303	Must maintain Business and Technical Operating Procedures as any changes are made (e.g. job schedules, data dictionary, and system software and hardware failure procedures) and submit for State approval.
304	Must create and maintain project notes, artifacts, agendas and meeting minutes in a State approved format for the duration of the contract.
305	Must maintain companion guides for HIPAA transactions applicable to the DMA scope of work. Companion Guides, tutorials, help files, FAQ's and tool tips for online applications.
306	Must develop, prepare, print, maintain/update, produce, and distribute DMA system documentation and DMA user manuals during the term of the contract. All manuals must be available in an electronic format that is compatible with Department standards. The Contractor is responsible for developing and providing to the Department complete, accurate, and timely documentation of the DMA.
307	Must update system documentation and user manuals and distribute in final form, for all changes, corrections, or enhancements to the system, prior to Department approval of the system change.
308	Must maintain database schema, data dictionaries, entity-relationship diagrams, process flows, network diagrams, and architecture and configuration diagrams.
309	Must provide COTS product documentation.
310	Must maintain documentation on all system modifications (e.g. version upgrades, new hardware, and parameters).
311	Must maintain system documentation that is accessible to users on-line, with a printable version available. Browse and search capabilities must be provided to permit users to easily locate specific information in the documentation.
312	Must maintain documentation that includes full mock-ups of all screens or windows and provides narrative descriptions of the navigation features.
313	Must provide on-line help for all features, functions, and data element fields, as well as descriptions and resolutions for error messages, using help features (e.g., indexing, searching, tool tips, and context-sensitive help topics).
314	Must maintain and distribute to all users (including the State) distinct systems design and management manuals, user manuals, and quick reference guides.
315	Must ensure that the systems user manuals contain information about, and instructions for, using applicable systems functions and accessing applicable system data.
316	Must ensure that all manuals and reference guides are available in printed form and on the Contractor's website.
317	Must update the electronic version of these manuals immediately on taking effect, and make printed versions available within a maximum of ten (10) business days of the update taking effect.
318	Must provide online documentation of the system(s) to be delivered upon implementation, within a maximum of thirty (30) days of a major change, or as requested by the State.

3. Proposal Response

The bidder should respond to the following:

- a. Describe the internal methodology, approach and procedures used to maintain documentation
- b. Describe the repository and indexing conventions for storage of documentation.
- c. Discuss how the approach has been successful with previous clients.

L. User Support

1. Overview

The Contractor will need to maintain user support for both the State and authorized users during operations. Continued user training, effective user support plans, and issue resolution are critical to support effective operations of the DMA.

The MLTC organization currently consists of approximately 650 employees that may access any portion of the DMA. These staff are divided into different units such as Aging, Operations, Data and Analytics, Delivery Systems, Finance and Program Integrity, Medical Services and Policy and Communications. Within each of these units, the need to access the DMA for day to day inquiries exists. MLTC anticipates approximately 150 of these staff will be more active and sophisticated users of the system reporting and analytic tools. Specifically, the use of the Case Management and Program Integrity tools will be limited to an even smaller number of users.

2. Requirements

Contractor must meet the following requirements:

ID	Operations User Support Requirements
319	Must provide user support through a fully functional user support help desk for external and internal authorized users. Users must have various contact options (e.g. email, online, phone).
320	Must provide a means to alert user support personnel when no one is available to take their call for priority issues.
321	Must follow State approved escalation procedures.
322	Must prioritize and resolve issues using mutually agreed upon severity definitions.
323	Must track, manage, and report on user support requests and statuses using the proposed tool.
324	Must maintain a portal for submission of User reported errors, questions, and concerns that is searchable by users. This portal must include description of the issue, severity level assigned to the ticket, dates of generation and resolution, User IDs associated with the creation of the ticket, and a method of status update surrounding the issue.
325	Must provide ongoing education and training of user support procedures and policies, particularly when a change in the process is needed or required.
326	Must make available self-paced training for authorized users.
327	Must provide training that includes an overview of the system and hands-on training on the system as requested by the State.
328	Must provide systems help desk via local and toll-free telephone service and via e-mail from 7:00 am to 7:00 pm, central time, Monday through Friday. If requested by the State, the Contractor must staff the SHD on a Saturday or Sunday.
329	Must provide help desk staff that must be able to answer user questions regarding DMA system functions and capabilities; report any recurring programmatic and operational problems to appropriate DMA or the State staff for follow-up.
330	Must provide help desk staff that must be able to redirect problems or queries that are not supported by the SHD, as appropriate, via a telephone transfer or other agreed upon methodology; and redirect problems or queries specific to data access authorization to the appropriate support staff.
331	Must ensure that individuals who place calls to the SHD between the hours of 7:00 pm to 7:00 am, central time, Monday through Friday, are able to leave a message. The SHD must respond to messages by noon of the following business day.

ID	Operations User Support Requirements
332	Must ensure that recurring problems, not specific to system outage, identified by the SHD are documented and reported to DMA management within a maximum of one (1) business day of recognition so that deficiencies are promptly corrected.
333	Must provide an information systems (IS) service management system that provides an automated method to record, track, and report all questions or problems reported to the SHD.

3. Proposal Response

The bidder should respond to the following:

- a. Describe the bidder's user support approach and processes from start to resolution of user issues.
- b. Discuss how the approach has been successful with previous clients.
- c.
- d. Describe the escalation procedures and response times.
- e. Demonstrate a minimum of one (1) year of experience, within the past ten (10) years, in operating, and maintaining a help desk similar in magnitude to the Medicaid Long Term Care (MLTC) program.
- f. Provide an overview of user training approach, processes and methods.
- g. Provide example training material utilized by contracts.

M. Privacy and Security

1. Overview

Privacy and Security is a critical component of the Operations Phase. The State requires the Contractor to comply with all security and privacy laws, regulations, and policies, including the Health Insurance Portability and Accountability Act (HIPAA), and related breach notification laws and directives.

2. Requirements

The Contractor must meet the following requirements:

ID	Operations Privacy and Security
334	Must comply with all security and privacy laws, regulations, and policies, and related breach notification laws and directives.
335	Must provide and maintain an Operational Privacy and Security Plan that addresses updating security requirements as new threats/vulnerabilities are identified and/or new technologies implemented.
336	Must maintain a secured single sign-on per user and support DHHS single-sign-on (SSO) as and when applicable.
337	Must maintain a comprehensive log of user and external system access, queries, and changes, and alert State of key events and access to log information interactively.
338	Must meet and maintain all HIPAA, HHSS IT Security Policies and Standards, HITECH, ARRA and other State/Federal privacy and security requirements across all systems and services related to the solution.
339	Must provide and maintain Privacy and Security Policies and Procedures.
340	Must provide initial and ongoing privacy and security training to all employees and contract personnel assigned to the project prior to providing access to protected health information (PHI).
341	Must maintain a comprehensive audit trail of systemic and physical access to PHI.
342	Must demonstrate that the System infrastructure (hardware, software, and linkages) is operational and meets Federal and State architectural, technical, security and privacy requirements as well as business and functional requirements.
343	Must support multi-level role-based security and functionality.
344	Must comply with all applicable State and Federal laws, rules, and regulations for submitting protected health information (PHI), personally identifiable information (PII) and Federal tax information (FTI) electronically and must set up a secure email system that is password protected for both sending and receiving any PHI, PII and/or FTI.

ID	Operations Privacy and Security
345	Must utilize an access management function that restricts access to varying levels of system functionality and information.
346	Must restrict access to information on a "least privilege" basis (e.g., users who are permitted inquiry privileges only will not be permitted to modify information).
347	Must restrict access to specific system functions and information based on an individual user profile, including inquiry only capabilities. Access to all functions must be restricted to specified staff, with approval of the State.
348	Must restrict unsuccessful attempts to access system functions to three attempts, with a system function that automatically prevents further access attempts and records those occurrences.
349	Must provide for the physical safeguarding of its data processing facilities and the systems and information housed within those facilities. The DMA must provide the State with access to data facilities on request.
350	Must restrict perimeter access to equipment sites, processing areas, and storage areas through a key card or other comparable system, as well as provide accountability control to record access attempts, including attempts of unauthorized access.
351	Must include physical security features designed to safeguard processor site(s) including fire-retardant capabilities, as well as smoke and electrical alarms, monitored by security personnel.
352	Must put in place procedures, measures, and technical security to prohibit unauthorized access to the regions of the data communications network inside the DMA's span of control. This includes but is not limited to ensuring that no provider or member services applications can be directly accessible over the internet and must be appropriately isolated to ensure appropriate access.
353	Must ensure that remote access users of its information system can only access these systems through two-factor user authentication and by methods including VPN, which must be approved in writing and in advance by the State.
354	Must comply with recognized industry standards governing security (e.g., of State and Federal automated data processing systems and information processing, NIST 800-53 rev4 found at http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53Ar4.pdf). At a minimum, the Contractor must conduct a security risk assessment and communicate the results in an information system security plan provided prior to the start date of operations. This risk assessment must also be made available to appropriate State and Federal agencies.
355	Must develop and submit a Privacy and Security Management Plan within a maximum of thirty-five (35) business days after contract execution, which includes an overall approach for establishing and maintaining security that meets all state and Federal requirements, including Federal Tax Information and HIPAA, and protects against unauthorized access.
356	Must develop and implement methods that ensure security for all components of the system including environmental security, physical site security, computer hardware security, computer software security, data access and storage, client/user security, telecommunications security, and Network security.
357	Must develop and implement a process for documenting, tracking, monitoring and reporting security issues to the State.
358	Must support security authorization and authentication of the user.
359	Must provide identity management features that assign a unique user ID and password to all users.
360	Must manage user profiles, including enforcing role-based security access to system data and functions.
361	Must allow users to recover/reset lost passwords from a portal interface following industry best-practices.
362	Must support the ability to disable user accounts and ensure no disabled accounts can log in or access the system.
363	Must support the automatic disabling of user accounts if failed logins exceed a configurable threshold.
364	Must automatically log off authenticated users after a configurable period of inactivity and display a warning message to the user prior to session timeout.
365	Must support the saving of user profiles for archival purposes, including the ability to re-enable/reuse the profile.
366	Must generate automatic alerts to system administrators when a breach pattern or unauthorized use activity is detected.

ID	Operations Privacy and Security
367	Must provide appropriate encryption mechanisms to protect the confidentiality and integrity of critical data, including but not limited to passwords, social security numbers and bank account numbers.
368	Must encrypt sensitive data in transit (including emails) to protect data confidentiality and integrity as appropriate based on the sensitivity of data.
369	Must support the latest version of Security Sockets Layer (SSL)/Transport Layer Security.
370	Must prevent the creation of duplicate accounts.
371	Must support the use HTTPS/SSL for connections between interfaces.
372	Must inform the State of any potential, suspected, or confirmed breach immediately upon Contractor becoming aware.
373	Must provide initial and ongoing privacy and security training to all employees and contract personnel assigned to the project prior to providing access to PHI.
374	Must take reasonable industry recognized methods to secure the system from un-authorized access (e.g., NIST 800-53 rev4 found at http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53Ar4.pdf).
375	Must de-identify data for testing.
376	Must de-identify data and maintain the value of the data without compromising the ability to run analytics and applications.
377	Must submit an annual independent security audit each operational contract year. The audit must cover its internal controls and other system functions within the Contractor's span of control. The cost of the audit must be borne by the Contractor, not the State.
378	Must provide an exact copy of the annual independent security audit report within a maximum of thirty (30) days of completion. The State will use the findings and recommendations of each report as part of its monitoring process.
379	Must deliver to the State a corrective action plan to address deficiencies identified during the audit process within a maximum of ten (10) business days of receipt of the audit report.
380	Must include in audit requirements the applicable subcontractors or vendors delegated any responsibilities related to the DMA's information systems obligations. The cost of the audit must be borne by the Contractor or subcontractor, not the State.
381	Must support and integrate with the State's single-sign-on when and as applicable.

3. Proposal Response

The bidder should respond to the following:

- a. Provide an approach, strategy, architecture, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of privacy and security control within the DMA environment.
- b. Discuss how the approach has been successful with previous clients.
- c. Provide an inventory, description, triggers, data model, usage scenarios and best practice recommendations for available privacy and security controls and events.
- d. Describe how the privacy and security controls and events are monitored and managed.
- e. Describe the proposed privacy and security controls and events including usage scenarios and best practice recommendations for the DMA environment.
- f. Sample of a Privacy and Security plan from a previous project.
- g. Description of how workforce security awareness is supported.
- h. Description of how state and Federal privacy and security requirements are integrated into the solution including proposed security for data transmissions.
- i. Description of security and privacy compliance testing.
- j. Listing of security tools, hardware and software to be used and how they integrate to form a comprehensive security architecture.
- k. Description of encryptions schemes, how those schemes can be extended into the system architecture, and the plan to incorporate greater encryption requirements in the future.
- l. Description of how data access and data security is managed and what structures, protocols and tools are used to maintain controlled access, flexibility and efficiency.

- m. Describe the approach to monitoring attempted security violations and the actions that will be taken when breaches and security violation attempts are made.
- n. Describe the methodology, approach and process used to protect PHI.

N. Business Architecture Overview

1. General

a. Overview

During the Operations Phase, the State will use the Data Management and Analytics (DMA) solution to carry out day-to-day business functions for reporting, program analytics, case management and encounter management. As Managed Care becomes more prominent, the State will rely less on its traditional MMIS and more on the DMA solution to manage the Nebraska Medicaid program. The business architecture section of this RFP describes the specific requirements that must be met to meet the needs of the Department’s business units.

b. Requirements

The Contractor must meet the following requirements:

ID	Business Architecture Requirements
382	Must provide industry expertise and thought leadership in data analytics for all areas of the State’s business architecture.
383	Must support the State’s operational continual improvement efforts.
384	Must support the State’s future MITA assessment efforts by evaluating MITA maturity for business architecture processes within the scope of the contract.
385	Must monitor and inform the State of potential Federal or industry changes which may impact business processes supported by the contract.

c. Proposal Response

It is expected that the bidder will have proven methodologies for managing the scope of the State’s business architecture requirements. The bidder should respond to the following:

- i. Describe the bidder’s processes for continuous improvement.
- ii. Describe how the bidder’s industry expertise and thought leadership applied to the benefit of the bidder’s other customers.
- iii. Provide a listing of the bidder’s participation in industry groups and coordination of the individual participation to the benefit of the bidder’s customers.

2. Reporting and Analytics

a. Overview

The State intends to use the reporting and analytics components of the DMA solution to manage the existing programs. The State will also use these components to analyze the data that will be used to prepare for the program of the future. The reports defined in this section refer to the pre-defined reports needed for day-to-day operations, the need for ad hoc reporting capabilities that are specific to an isolated area of interest, Federal reporting requirements and the analytic reports needed to evaluate and make program decisions. The State requires the Contractor to work with the State and its stakeholders to identify opportunities to improve reporting and analytics as it pertains to report structure, availability, standardization and automation.

b. **Requirements**

Contractor must meet the following requirements:

ID	Reporting and Analytics
386	Must provide proven, high quality reporting and analytic capabilities that leverage an industry-leading suite of reporting and business intelligence tools.
387	Must provide a reporting and analytic tool that is easily configurable by the average user.
388	Must work with the State to identify and develop requirements for reports and analytics for the DMA solution, including mechanisms and methodologies for each.
389	Must provide, implement, and maintain the reports, analytics, and associated catalogue/index/metadata based on State approved requirements for the DMA solution, including mechanisms and methodologies for each.
390	Must produce and distribute all production reports and analytics within the timeframes and according to the format, input parameters, content, frequency, media, and number of copies specified by the State.
391	Must generate system activity, balancing and error reports as defined by the State and as requested by the State.

c. **Proposal Response**

The State requires that the bidder will have proven reporting and analytic tools that have been implemented and used in other State Medicaid and private health plan environments. Those solutions with proven industry leading capabilities will be considered important added value for the Nebraska Medicaid program. The bidder should respond to the following:

- i. Provide an approach, strategy, architecture, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of reporting and analytics for the DMA environment.
- ii. Provide information that quantifies the implementation (building, testing, and deploying) of the proposed and any future reports and analytics. The State seeks to understand how the bidder organizes level of effort estimates in this regard.
- iii. Describe and provide screenshots on how users will navigate the reports and analytics available to them. Describe analytics in the context of an analytics spectrum (e.g. descriptive, diagnostic, predictive, and prescriptive).
- iv. Provide a sample report and analytics catalogue/index/metadata from a previous project.
- v. Description of how the tool has been instrumental in the management of a Medicaid environment.
- vi. Description including illustrations that demonstrate that the tool is user friendly.

3. **Creating, managing, and performing statistical analysis, forecasting, and predictive analytics**

a. **Overview**

The State requires the Contractor will have established healthcare statistical analysis, forecasting and predictive analytics methods that have been successfully used with projects of similar scope and size. The State is in favor of allowing the Contractor to utilize its existing statistical analysis, forecasting and predictive analytics tools that align with the needs of the State, but also requires that the Contractor meet any additional needs of the State.

b. **Requirements**

The contractor must meet the following minimum requirements.

ID	Creating, managing, and performing statistical analysis, forecasting, and predictive analytics
392	Must track all variable data in the database resulting in the provision of statistical analysis, forecasting, and predictive analytics and deliver results to the State on a frequency as determined by the State.
393	Must provide Contractor pre-defined and future predictive algorithms to the State on a frequency as determined by the State.
394	Must identify, interrogate, monitor, assess and categorize various variable data in the database resulting in the provision of statistical analysis, forecasting, and predictive analytics.

ID	Creating, managing, and performing statistical analysis, forecasting, and predictive analytics
395	Must manage the results of statistical analysis, forecasting, and predictive analytics to meet state and Federal guidelines and laws.
396	Must provide interpretation, guidance and training to State users regarding predictive algorithms and other results of statistical analysis, forecasting, and predictive analytics.

c. **Proposal Response**

The bidder should respond to the following:

- i. Description of the methodology, approach and procedures used to manage and perform statistical analysis, forecasting, and predictive analytics
- ii. Discuss how the approach has been successful with previous clients.
- iii. Description of the methodology, approach and procedures used to create new statistical analysis, forecasting, and predictive analytics
- iv. Provide five samples of statistical analysis from a recent previous project
- v. Provide five samples of forecasting from a recent previous project
- vi. Provide five samples of predictive analytics from a recent previous project

4. **Managing Queries and Reports – Predefined and Ad-Hoc**

a. **Overview**

The State requires the capability to create reports and execute queries as needed throughout the course of the contract. The inventory of reports currently used by MLTC relevant for the DMA project may be found in the Bidders Library. The State is not suggesting these reports be duplicated specifically. The State requests the bidder propose the best approach to achieve the reporting necessary for MLTC business needs based on the requirements of this RFP. The State reserves the right to modify existing reports and add new reports, as well as redefine usages and formats of reports within the scope of the report inventory. The State requires the capability to create reports on an ad-hoc basis utilizing the data provided by the State to be maintained in the proposed solution. The State anticipates reporting on the following data entities:

Data Entity	Data Sub Entity
Member	Eligibility Enrollment Benefit Plan Demographics Grievance/Appeal Profile Application Health Plan Selection/PCP Restrictions and Sanctions TPL Case Management
Provider	Enrollment Eligibility Demographics Grievance/Appeal Credentials Profile Health Plan Participation Verification/Validation Restrictions/Sanctions Applications Ownership/Management Case Management Provider Billing Agent
Care Management	Authorizations Encounters/Services Diagnosis Registries

Data Entity	Data Sub Entity
	Treatment Plan/Plan of Care Level of Care Preadmission Screening
Performance	Health Plan Measures and Metrics Provider Measures and Metrics Contractor Measures and Metrics Contractor Penalties/Damages
Operations	Encounters Claims Adjudication Invoices Spendedown/Share of Cost Remittance
Business Relationship	Memorandum of Understanding (MOU) Agreements Intergovernmental Agency Agreements Trading Partner Agreements Medicaid Contracts
Financial	Payables Payment Capitation Drug Rebate Receipt/Revenue Receivables Refund Repayment Agreements Budget Cost Centers Match Rates
Reference	Diagnosis Codes/DRG Internal Error and Reason Codes Procedure/Service Code/Modifiers CBSA (Core Based Statistical Area) Number First Data Bank Drug File Physician NDC Codes Formulary Rate Place of Service Plan Benefit Plan Services HCPCS-NDC Crosswalk National Code Sets NUBC Code Sets Nebraska State Preferred Drug List

b. **Requirements**

The Contractor must meet the following minimum requirements.

ID	Managing and performing pre-defined queries & reporting
397	Must provide secure generation and on-line real-time access of all data entities (as identified in the overview) of pre-defined queries, ad-hoc and business reports on a timely basis to meet Federal, State and Contract requirements.
398	Must provide the ability to view, search, print and export into various formats (e.g. Excel, Word, charts, graphs) all data entities of pre-defined queries, ad-hoc and business reports.
399	Must allow authorized users to view results of filtered reports, ad-hoc and pre-defined query searches based on multiple or single criteria, with the ability to perform secondary and tertiary searches within the primary search results.
400	Must allow authorized users to view results of filtered reports, ad-hoc and user defined query searches based on multiple or single criteria, with the ability to perform secondary and tertiary searches within the primary search results.

ID	Managing and performing pre-defined queries & reporting
401	<p>Must create all CMS Federal Quarterly Reports including but not limited to:</p> <ul style="list-style-type: none"> • TMSIS • CMS-64 • CMS64-EC • CMS64-21E • CMS-21 • CMS-21E • CMS-21B • CMS-37 <p>Note: Nebraska CHIP program is a combined Medicaid Expansion and Separate CHIP. Also, managed care is operated under a 1915(b) waiver.</p>
402	<p>Must create all CMS Federal Annual reports including but not limited to:</p> <ul style="list-style-type: none"> • CMS-416 • CMS-372 reports for all active HCBS waivers.
403	Must create all new required Federal Reports including file submissions as defined by CMS and the State.
404	Must provide dashboard solutions and performance management scorecards that are updated on a schedule defined by the State.
405	Must provide a secured provider portal displaying provider specific reports informing the provider of how their trends compare with their peers.
406	Must provide the flexibility to vary time periods for reporting purposes and to produce reports on any frequency specified by the State.
407	Must store and maintain pre-defined business reports for a period specified by the State.
408	Must provide the ability to save ad-hoc and query results for a period specified by the State.
409	Must provide, implement, and maintain State approved processes and methods to support the management of a dynamic information request practice that includes pre-defined and ad hoc reports and analytics.
410	Must provide, implement, and maintain State approved pre-defined reports and supporting documentation that meet State and Federal specifications.
411	Must provide, implement, and maintain the DMA report catalog, analytics catalog, and data dictionary that includes relationship and reference mapping. This information must be available in electronic searchable format and exportable to support print formats.
412	Must document and provide verification of pre-defined reports' accuracy and validity on an annual basis.
413	Must provide, implement, and maintain State approved algorithms and supporting documentation utilized within the DMA.
414	Must provide, implement, and maintain a State approved Communication Plan regarding DMA system and data events, information on known data issues, and status updates.
415	Must provide support services to provide, implement, and maintain analytics and reports of complexity levels outside the scope of State staff knowledge and training levels.

c. **Proposal Response**

The bidder should respond to the following:

- i. Description of the internal methodology, approach and procedures used to manage pre-defined queries and reports.
- ii. Discuss how the approach has been successful with previous clients.
- iii. Description of procedures used to create new pre-defined queries and reports.
- iv. Description of procedures used to create new ad-hoc queries and reports.
- v. Provide an approach, strategy, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of the reporting and analytics practice in coordination with the proposed bidder services.

- vi. Description of how the bidder expects to incorporate pre-defined and ad hoc reports and analytics within the DMA based on specifications and assumptions derived from the RFP.

5. Program Integrity

a. **Overview**

A primary function of Program Integrity is detecting potential fraud, waste, abuse and erroneous payments. The standard Program Integrity solution will create comprehensive statistical profiles of both provider delivery and client utilization of health care services and supplies. A competitive solution will also include support for alert functionality, robust statistical analysis, capabilities for peer grouping, data reduction, data summarization and exception processing.

b. **Requirements**

The Contractor must meet the following minimum requirements.

ID	Program Integrity
416	Must provide a configurable rules-engine that identifies potential incidents of fraud, waste, abuse and erroneous payments.
417	Must develop, update and maintain an algorithm library throughout the life of the contract. New algorithms will be created by State staff, the Contractor, and the program integrity field as the industry changes and as the nature of fraud, waste abuse, and erroneous payments evolves.
418	Must allow authorized users to create, modify, and run the rules and algorithms with limited or no technical support.
419	Must incorporate link analysis of providers and members where relationships extend beyond provider to provider relationships (e.g. interwoven relationships between providers, members, owners, addresses, members that use the same cluster of providers. Members that are providers).
420	Must provide a subject matter expert, who understands the algorithms used to extract data, to testify and support an administrative State or Federal action, and the appeals process.
421	Must provide predictive modeling (leveraging historical information to project outcomes) and early warning capabilities and analytics for detecting fraud, waste, abuse and erroneous payments in fee-for-service paid claims and managed care entity encounter data.
422	Must include application training modules including self-paced computer-based modules, web-based training, application tutorials, and searchable help features for authorized users.
423	Must implement, maintain and operate a configurable surveillance, utilization, and review subsystem according to Department business rules.
424	Must implement, maintain, and operate a configurable program integrity solution which meets all requirements for CMS certification.
425	Must profile provider groups, independent/solo providers, and individual providers within group practices.
426	Must perform analysis of rendering, attending, admitting, supervising, ordering and prescribing provider's billing practices to generate reports of aberrant utilization patterns.
427	Must apply clinically approved guidelines (potential vendor should identify source of guidelines) against episodes of care to identify instances of treatment inconsistent with guidelines.
428	Must perform all analysis using both claims and encounter records.
429	Must link all services of any member based on all historical member ID numbers.
430	Must profile all services provided to a member during a single episode of care.
431	Must utilize a minimal level of manual effort in providing information that reveals potential defects in level of care and quality of service.
432	Must suppress processing on an individual(s) within specified categories on a run-to-run basis.
433	Must support pattern recognition and provide an automated fraud and abuse profiling system for the ongoing monitoring of provider and member claims to detect patterns of potential fraud, waste, abuse and excessive billing.

ID	Program Integrity
434	Must update all reference data based on a schedule agreed upon with State.(e.g. claims, provider, member)
435	Must maintain a process to apply weighting and ranking of those exception report items identified by the State.
436	Must exempt individual and mass adjustments or voids from SURS profiles and reports based on configurable rules.
437	Must recommend members for referral to restricted access programs.
438	Must perform “absence of” scenario analysis (examples include inpatient hospitalizations or prescriptions with no physician visit, durable medical equipment with no relevant diagnosis).
439	Must provide statistical models to support simple random sampling and extrapolation that complies with generally accepted statistical audit and governmental accounting standards. (Nebraska Medicaid currently uses RAT- STATS Statistical Software)
440	Must suggest additional projects and ideas for Program Integrity efforts to prevent or identify fraud, waste, abuse, or erroneous payments.

c. **Proposal Response**

The bidder should respond to the following:

- i. Describe the approach to meet the requirements of this section.
- ii. Discuss how the approach has been successful with previous clients.
- iii. Describe the vendor’s experience in implementing various methods to identify potential fraud, waste, abuse, and erroneous payments.
- iv. Describe the features that identify potential fraud, waste, abuse, and erroneous payments.
- v. Described the algorithms currently available and the development process for new algorithms.
- vi. Describe how certain types of claims, adjustments, or voids can be excluded from reporting.
- vii. Provide examples of how the incidents of fraud, waste, abuse, or erroneous payments will be presented.
- viii. Describe how effective detection systems and exception profiling have supported previous similar efforts leading up to a provider refund or conviction for health care fraud.

6. Case Management

a. **General**

i. **Overview**

The State is seeking a case management solution that specifically focuses on Program Integrity Case Management, but is also configurable and capable of supporting multiple business processes such as estate recovery cases, managed care quality issues and contract management. The requirements in this section outline the components necessary to identify, create, manage, determine adverse action and audit Program Integrity cases. The solution must also contain a comprehensive workflow management tool.

ii. **Requirements**

The Contractor must meet the following minimum requirements.

ID	Case Management Overview
441	Must provide a real time, state of the art, configurable case management tool to identify, create, document, and manage fraud, waste, abuse, and erroneous payments in connection with the State’s Program Integrity process.
442	Must provide a solution that is configurable and capable of supporting multiple business processes in addition to Program Integrity.

iii. Proposal Response

The bidder should respond to the following:

- a) Description of how the solution is focused on Program Integrity but is configurable to be capable of managing other State business functions.
- b) Description of how the proposed solution has been used in other State Medicaid Program Integrity units.

b. Case Identification and Creation

i. Overview

The initial step in the case management process is case identification. The Contractor must utilize the case management tool to assist in the compilation and distribution of referrals or reports. The case management tool will accept referrals manually and via a web-based referral template housed on DHHS websites. The referral form, once completed and submitted, must trigger the creation of a case.

Issues identified as potential Fraud, Waste, Abuse or Erroneous Payment that require additional investigation result in a case or cases being created. Each case will contain all information related to the issue being investigated from intake to closure. The case management tool will create a case file for each reported issue to contain all information related to the investigation of this issue. All requirements related to identification and creation of a case are based on configurable business rules.

ii. Requirements

The case management tool must meet the following minimum requirements.

ID	Case Identification and Creation
443	Must initiate cases from a web-based referral form and must support manual initiation of cases.
444	Must receive, record and funnel all initial cases into a queue for assessment, assignment and investigation.
445	Must assign caseload "weights" to cases (e.g., characteristics of claim, claim edits, claim submission type, prior authorization, and client).
446	Must auto-populate fields and values on all case-related forms and web-based tools including exclusionary provider data.
447	Must have access to internal and external agency databases to extract data to pre-populate index fields, and/or values (e.g. MMIS provider data, MMIS member data, Electronic Health Records). Interfaces between State Contractors for data will be arranged to facilitate the pre-population.
448	Must suggest and supply data and information from other sources to pre-populate values (address, licensure).
449	Must identify and link related case data and activities.
450	Must include large-capacity free-form text note functionality (e.g. keyword search, sort functions) for cases.
451	Must customize case data to the State's business processes.
452	Must provide notification to the assigned investigator when a new case is created.
453	Must provide the user the choice to either automatically assign cases or assign cases on a case-by-case basis.
454	Must utilize multi-level drop-down menus for consistent categorization and reporting.

iii. Proposal Response

The bidder should respond to the following:

- a) Description of the proposed strategy, methodology and capabilities for receiving, coordinating and distributing referrals for investigation
- b) Discuss how the approach has been successful with previous clients.
- c) Description of the ability to weight characteristics of a case to assist in assignment for investigation
- d) Description/Demonstration/Sample of assignment criteria/queues and the steps to remove a case from the queue
- e) Description of case comparison capabilities
- f) Describe, utilizing examples, case assignment configurability available in the proposed solution.
- g) Show examples of auto-populated fields, describing the process by which it is determined which fields can be auto-populated

c. Manage Case Information

i. Overview

Managing a case involves tracking all of the actions taken in an investigation in a consistent manner, maintaining a complete record of the actions, and producing information in multiple formats as required. These activities should be consistent from case to case and follow a documented business process.

Actions taken in a case may include producing and sending correspondence, provider sanctions, referrals to law enforcement entities, and collection of accounts receivable. Follow-up on these actions permit appropriate escalation and case closure.

ii. Requirements

Through the utilization of the case management tool, the Contractor must meet the following minimum requirements based on configurable business rules.

ID	Manage Case Information
455	Must track and manage all case management data including adverse actions, outcomes, expenditures, payments, receivables, recoupments and adjustments in accordance with State guidelines.
456	Must track and report AR/AP (e.g., check numbers, payer, payee, date, amount, and memo).
457	Must capture, track, display, and maintain all provider data, including agreement and termination information and historical communications.
458	Must maintain, track, log, archive, display, generate and auto generate, as defined by the State, all provider communications.
459	Must provide search capability of all current and historic case management data.
460	Must provide letter templates including the use of digital signatures for all case management letters.
461	Must provide tracking for individual cases, multiple cases/projects, and policy recommendations. Each case type has a unique set of fields and events that reflect the unique characteristics and processes for that case.
462	Must maintain links between cases and historical scanned/uploaded documents.
463	Must provide customized access to cases to ensure case information is only visible to those authorized to see it, based on role level, case type, or other criteria. This will also restrict rights so that certain users can be given "read-only" access to cases and others can edit case files.
464	Must allow users to sort and search for keywords or names throughout the case management tool.
465	Must allow users to add notes to any case from the dashboard or from within the case and automatically store these notes based on configurable business rules.
466	Must allow users to add files (e.g. spreadsheets, emails, scanned documents, PDFs, audio, photos, videos) to a case as attachments, or upload and assign them to a particular case/project, or multiple cases/projects. Users must also have the ability to remove and/or replace documentation attached to a case.

ID	Manage Case Information
467	Must allow users to complete a case or investigative report into a pre-formatted report template, auto-populate information from the case file on the system.
468	Must allow users to add parties to a case file either manually or by copying from other case files.
469	Must conduct a final review of every investigation and ensure a State accepted outcome has been executed before the case is closed.
470	Must communicate actions (e.g. termination, exclusion) and outcomes to the appropriate State system (e.g. Provider Screening & Enrollment, Eligibility and Enrollment System, Special Investigation Unit) and/or investigator(s).
471	Must provide workflow functionality to enable automated distribution of cases, alerts and notifications to designated work queues and processing.
472	Must provide functionality to establish and modify workload distribution to manage workloads on an as needed basis.
473	Must incorporate tools such as a spell-check option for all free-form data entry fields and use drop-down menus for common data elements such as date fields and provider types.
474	Must modify and adapt case management processes, procedures and functionality to business process changes and maintain up to date functionality with minimal impact to users.
475	Must provide training to all current and new users initially and when upgrades are implemented and/or when processes, procedures and/or functionality changes.
476	Must provide user manuals with updates as appropriate.
477	Must provide on-line help for all features, functions and data element fields.
478	Must allow for users to see all assigned cases and identify all of their open cases and those which have deadlines that are approaching or have passed.
479	Must update multiple cases in a project by selecting certain cases from the system, selecting a particular activity, and updating all cases simultaneously.
480	Must provide for on-line review and approval by management of key steps within the case investigation process.
481	Must provide a structured workflow process that does not allow steps to be skipped without proper authorization.
482	Must manage case information in a logical, chronological format.
483	Must maintain functionality to create and export comprehensive case records to multiple external media based on configurable business rules.

iii. Proposal Response

The bidder should respond to the following:

- a) Description of all formats that information can be imported from and/or exported to from the proposed solution.
- b) Description of available templates that can be used for case narrative and correspondence.
- c) Sample correspondence/letter templates.
- d) Description of all actions available to close a case and the configurability capabilities of this criteria.
- e) Description of accounts receivable/payment tracking
- f) Description of the approach and methodology to communicate/interface alerts and actions with other users/systems
- g) Description of workflow queue functionality and configurability
- h) Description of process to modify workload distribution
- i) Description of alert criteria and configurability
- j) Sample of dashboards showing current workloads and case status
- k) Description of how the Case Management tool will maintain associations between cases and scanned and uploaded documents.
- l) Description of how security and role based access is provided in the proposed solution.

- m) Discuss how the approach has been successful with previous clients.

d. **Audit Cases**

i. **Overview**

During all stages of investigation, and after closure, cases are subject to internal and external audit. The case management tool must include audit functionality. State users with audit authority will review cases. All activities related to any case in an associated case file will be electronically and automatically tracked to meet all audit requirements.

ii. **Requirements**

The Contractor must meet the following minimum requirements.

ID	Audit Cases
484	Must provide viewable, printable, exportable, consolidated audit history of cases.
485	Must allow users to produce work management reports which include performance measures for individuals and business processes.
486	Must provide an audit trail of historical activity which includes modification activities.
487	Must track time, expenses and recoveries related to investigation activities.
488	Must allow managers to track investigator caseloads, missed deadlines and aging cases.
489	Must maintain a complete history and audit trail of all cases.
490	Must provide the functionality to analyze caseloads, clearance rates, dispositions and other management data.
491	Must provide built-in time tracking and complete history/audit trails.
492	Must retain all data on-line for a period of time defined by the State.

iii. **Proposal Response**

The bidder should respond to the following:

- a) Description of the case file audit trail including examples
- b) Description and sample of case file audit history
- c) Description and sample of available reporting capabilities and the configurability of these capabilities
- d) Description of quality improvement elements of the tool.
- e) Discuss how the approach has been successful with previous clients.

7. **Encounter Processing**

a. **Overview**

During the Operations Phase, the State plans to phase out the use of the MMIS for FFS claims and MCO encounter processing. The MMIS currently processes FFS claims (full adjudication and claims payment) and MCO submitted encounter records (editing and adjudication) and then passes the records to the data warehouse. The State is moving towards a primarily managed care population which will result in very few FFS claims and an increase in encounter records.

Immediately upon implementation of the DMA solution, the State requires the Contractor to process and accept encounter records directly from the MCO's without the intervention of a typical MMIS. Encounter processing **does not** include re-pricing of encounter records, but does require editing that allows the encounter to be captured and maintained in the data warehouse. As long as the encounter can be loaded to the system, the State intends for the encounter processor to flag the claim for the error found and support a workflow

and method to work with the MCO for submission of a corrected encounter claim. The State requires the Contractor to facilitate all encounter transactions with the MCO using standard HIPAA formats.

In addition, MLTC has contracted with one of its Managed Care Organizations to process FFS claims at some time in the future. (For further details, click on the link to the contract: [http://das.nebraska.gov/materiel/purchasing/contracts/pdfs/71163\(o4\)awd.pdf](http://das.nebraska.gov/materiel/purchasing/contracts/pdfs/71163(o4)awd.pdf)) When that occurs, FFS claims will no longer be transferred to the data warehouse via the MMIS, but will be transferred directly from the MCO that processes those claims.

b. Requirements

The Contractor must meet the following minimum requirements.

ID	Encounter Processing Requirements
493	Must process and load encounter and FFS claims to the data warehouse received in HIPAA and NCPDP standard formats as applicable by claim type.
494	Must validate that encounter and FFS claims are in compliance with HIPAA and NCPDP standards and operating rules as applicable by claim type.
495	Must perform integrity edits as directed by the State. Integrity edits are those that would be in addition to HIPAA compliance edits.
496	Must maintain all applicable reference files for encounter processing purposes.
497	Must maintain a method to distinguish between encounter and FFS claim records.
498	Must reject claims that fail compliance edits.
499	Must flag, capture and report on encounters and claims that fail integrity edits.
500	Must support a workflow and method to work with the MCO for submission of a corrected encounter claim.
501	Must provide a detailed integrity edit report describing the reason for the integrity flag and work with MCO to resolve and resubmit.
502	Must provide management reconciliation reports for rejected encounters and claims resolution.
503	Must provide online work queues for flagged claims resolution.
504	Must capture and report on other types of payment records including MCO supplemental payments such as maternity Kick Payments.
505	Must report on content of the database via dashboards, static and ad-hoc reports.
506	Must report on the activity of encounter and claim receipts.
507	Must receive and process other encounter data (e.g. authorization, quality of care, performance, etc.).

c. Proposal Response

The bidder should respond to the following:

- i. Describe in detail how the DMA solution will accept FFS claims directly from an MCO claims processor.
- ii. Describe in detail how the DMA will accept encounter records directly from MCO's without the intervention of an MMIS.
- iii. Provide an explanation of how the DMA solution will perform data integrity and compliance editing.
- iv. Explain how the bidder will work with the MCO's to resolve encounters that are rejected due to integrity and compliance editing.
- v. Provide a description of how the bidder's solution has been used to process encounter records for other Medicaid projects or how the bidder will need to modify their solution to meet the requirements.

- vi. Discuss how the approach has been successful with previous clients.

O. Information and Technical Architecture

1. General

a. Overview

The State requires the Contractor to provide and manage the DMA information and technical architectures and its operations including all related conceptual and logical mechanisms. The State is not mandating any particular architectural pattern or solution for the DMA. However, the State is actively pursuing improvements in its enterprise architecture framework, program and best practices as described below. The DMA information and technical architectures must reflect design principles associated with high quality, service-oriented, industry best-practices and trends. The DMA information and technical architectures must be agile, elastic, and configurable to effectively incorporate and interoperate with applications, services, and data in alignment and in support of the State's Medicaid operations and its evolving enterprise architecture program. The State requires the Contractor to work with the State to develop and maintain the planning necessary for this project (e.g., Enterprise Architecture, Data Management Plan, Data Governance Plan).

DHHS Enterprise Architecture Program

DHHS is establishing an Enterprise Architecture program that focuses on a holistic approach for engaging with our business partners, designing and implementing IT centric solutions, governance, and a continuous improvement philosophy. The goals of this program include the following:

- i. To enable process consolidation and standardization
- ii. Facilitate a DHHS enterprise roadmap
- iii. Assist with project scoping and consistent project deliverables
- iv. Improve agility and adaptability to changes within the DHHS programs
- v. Provide agency based solutions to promote reusability and lower overall costs to DHHS and the State of Nebraska.

As project initiatives become available, DHHS will look for ways to build upon the vision of the enterprise architecture through the procurement of technologies, services, and methods which form a foundation for best practices as it relates to our Enterprise Architecture. To that end, certain technologies, via other initiatives, have been procured. DHHS intends to look for opportunities and explore options to reuse these existing assets within the context of new projects and initiatives, such as the DMA.

Through previous and present project initiatives a number of foundational technologies that support our Enterprise Architecture have been procured and are being implemented. The implementation of these technologies will establish a set of key capabilities to be leveraged, the methods for use, and the processes associated with on-going governance and support. The remainder of this section will introduce the foundational technologies and key capabilities currently available or planned, and the products used to provide them. **Bidders should consider these areas as they prepare their solutions and proposals, as the selected bidder will ultimately need to integrate with, or possibly leverage, the capabilities described.**

Information Integration

With the organizations vision of utilizing independent, best of breed systems and services to provide business functions comes the need to integrate the functions into a unified solution. This requires the ability to integrate at a number of levels, including user interfaces, business processes, functional and technical services, and information. In particular, Information integration will be need to address how to integrate the information processed within the various operational systems, as well as how to bring that information together in order to support cross system reporting, decision-making, and analysis. For these reasons, DHHS has identified Information Integration as a foundational technology.

The Information Integration capability consists of a collection of sub-capabilities that includes data quality, and data transformation and delivery. These capabilities are intended to be used during the project to support the data conversion process, and post-implementation to support both operational systems integration and the data warehousing environment. During data conversion, the data quality capabilities are used to profile the source data to assess the quality of the data and to identify any anomalies. Based on the data profiling results, data cleansing and transformation rules are developed and performed using the transformation and delivery capabilities. Post-implementation the data transformation and delivery capabilities provides functions such as extraction, transformation and load (ETL) that supports preparation and loading of data into the data warehouse environment. DHHS has chosen the IBM InfoSphere Information Server for Data Integration and IBM InfoSphere Information Server for Data Quality products to support data quality, and data transformation and delivery capabilities.

Metadata Repository

As the organization integrates systems and information, a better understanding of the information contained within those systems is paramount. The Metadata Repository has been identified as the foundational technology to aid DHHS in this area. The Metadata Repository will ultimately provide the organization with a single location where the metadata contained in systems throughout the organization will be collected and cataloged. This will assist in developing a common understanding of the information and establishing consistent data definitions and a common vocabulary. The Metadata repository will also contain the necessary information to support tracking data lineage, which will help the organization build and maintain a strong data governance and stewardship program. The IBM InfoSphere Information Governance Catalog product is being used to provide these capabilities.

Enterprise Service Bus

Whether integrating at the process level or the data level, or via real-time web services or batch file-transfer, communications between the systems is critical. The enterprise service bus (ESB) is the foundational technology that provide this capability. The ESB allows the organization to connect an array of independently deployed, heterogeneous software and services, thereby reducing the need to develop complex point-to-point connections. This is accomplished through the use of ESB capabilities such as message routing, protocol conversion, service orchestration, and process choreography to name a few. The ESB establishes a standardized and flexible integration foundation, which will allow the organization to support business changes more quickly. The ESB selected to establish this foundational technology is the IBM Integration Bus (IIB), formerly IBM WebSphere Message Broker.

Service (SOA) Registry and Repository

The Enterprise Architecture identifies the use of a Service Oriented Architecture as a key principle, which means that as the organization moves forward it will have a greater number of service (web and otherwise) to manage. In order to ensure that the organization realizes the benefits of using services it was determined that a service registry and repository needed to be a foundational technology. By implementing the service registry and repository capabilities, the organization will have greater visibility of the services in the environment, and will be able to better manage and control the services environment. The service registry and repository supports the organizations service lifecycle management and service governance processes. It is used to auto discover and catalog services in the environment, track service versions and availability, and to establish and enforce service policies. This capability is provided by the IBM WebSphere Service Registry and Repository (WSRR) and IBM SOA Policy Gateway products.

Master Data Management

As the organization realizes its vision, the number of disparate systems and services in the environment will grow. With this growth, it is inevitable that these systems will duplicate and store their own version of critical data entities that occur across the organization, entities such as client and provider. These entities contain data known as Master Data, which refers to data elements that should be shared across the systems, data elements such as Social Security Number, address and last name. Master data management (MDM) is the set of processes, policies and standards used to link this

critical data together in order to provide a single point of reference. Successful master data management will provide the organization with a trusted view of these critical entities. It is for these reasons that the Enterprise Architecture includes MDM as a foundational technology. As part of a current project initiative, the organization is establishing a Master Client Index (MCI) registry and the corresponding governance processes. The MCI will be used to synchronize client data across systems, and to provide other systems with the ability to cross-reference clients across the systems. The plan is to build a Master Provider (MPI) Index registry as part of future project initiatives. The Master Data Management foundational technology and associated registries will be realized using the IBM InfoSphere Master Data Management Individual Hub for Non-Financial Services and IBM InfoSphere Master Data Management Patient Hub products.

Reporting and Business Intelligence

As part of current and planned project initiatives, the organization will be building out data warehousing environments. In order to reap the full benefit of these environments the organization needs to include Reporting and Business Intelligence (BI) capabilities, so they have been designated foundational technologies within the Enterprise Architecture. The Reporting and BI capabilities include support for creating and distributing standard production reports to support operational business reporting requirements, and the ability for users to develop and run reports and queries to support ad-hoc requests. In addition, these capabilities will include the ability to perform complex queries and data analysis to support decision making and business planning. The organization has chosen the IBM Cognos Business Intelligence Analytics product suite to provide these capabilities.

Data Masking, Redaction and De-Identification

Protecting the security and privacy of sensitive information is of the utmost importance to the organization, which is why it is a key principle within the Enterprise Architecture. The use of production data for non-production purposes is becoming more common, in fact, current and future project initiatives plan to use it to support data profiling, to create production like test data, and to create de-identified data to be shared with internal and external agencies for analysis. Therefore, the organization has established an Architectural Guideline to ensure that production data is sanitized before using it for any non-production purpose, and has classified Data Masking, Redaction and De-Identification as a foundational technology. IBM's InfoSphere Optim Data Privacy Enterprise Edition is the delivery vehicle for the capabilities.

b. Requirements

The Contractor must meet the following minimum requirements.

ID	DMA Information and Technical Architecture
508	Must provide, implement, and maintain a State approved DMA information and technical architecture that provides architecture views using architectural standards including alignment to all DMA related components of business, technology, and information.
509	Must work with the State to identify and develop requirements for services in the context of service oriented architecture (SOA) for the DMA solution, including mechanisms and methodologies for each.
510	Must provide, implement, and maintain the State approved services in the context of service oriented architecture (SOA) for the DMA solution, including mechanisms and methodologies for each.
511	Must provide, implement, and maintain a State approved services catalogue and services registry that describes the services provided and details the performance (time and quality service levels), functionality (a description of the inputs, outputs and transformation provided by the service), costs (and cost model), and delivery model (how the service is provided).
512	Must support the State in the alignment of the DMA with the MITA Framework and its capability/maturity model, CMS Seven Standards and Conditions, industry standards, and other nationally recognized standards for information and technology.
513	Must ensure that the DMA solution meets the requirements of this RFP, and all applicable State and Federal laws, rules and regulations, including Medicaid confidentiality, and HIPAA, American Recovery and Reinvestment Act (ARRA), Affordable Care Act (ACA) privacy and security requirements.
514	Must demonstrate high levels of capability/maturity with respect to service orientation, interoperability, and data exchange.
515	Must provide applications, operating software, middleware, and networking hardware and software that is able to interoperate as needed with the State's systems and must conform to applicable standards and

ID	DMA Information and Technical Architecture specifications set by the State.
516	Must comply with Section 508 of the Federal Rehabilitation Act and the World Wide WDMA Consortium (W3C), WDMA Accessibility Initiation, Section 508 (a)(1)(A).
517	Must support branding using official State content (e.g. logos, images).
518	Must follow a modular, flexible approach to systems design consistent with the MITA 3.0 guidelines, CMS Seven Conditions and Standards for Enhanced Funding and Service-Oriented Architecture (SOA) design principles including but not limited to the use of open interfaces and exposed application programming interfaces (API); the separation of business rules from core programming; and the availability of business rules in both human and machine-readable formats.
519	Must provide contextual "help" functionality throughout the system that users can link to for clarification or additional information.
520	Must maintain a system operational environment that ensures that the DMA operates according to Federal and State regulations and related requirements as stated in the RFP.
521	Must provide, on written request, files for any specified period for which a valid contract exists, in a file format or audit-defined media required by the State. The DMA must provide information necessary to assist in processing or using the files.
522	Must provide a written corrective action plan to the State within a maximum of ten (10) business days of receipt of an audit report where discrepancies or errors have been identified.

c. Proposal Response

The bidder should respond to the following:

- i. Provide an approach, strategy, architecture, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of the DMA information and technical architectures.
- ii. Discuss how the approach has been successful with previous clients.
- iii. Provide the proposed information and technical architectures that includes sample documentation and illustration of the architecture views using architectural standards and includes alignment to related components of infrastructure, business, information, and technology.
- iv. Provide system component details with respect to methods and tools for managing modifications, configurations, and customizations.
- v. Describe the service-oriented architecture (SOA) with respect to services enabling access to data in a standardized way that ensures data consistency and integrity.
- vi. Provide best-practice recommendations on infrastructure and environmental aspects related to the proposed information and technical architectures and system components.
- vii. Provide information that quantifies the implementation (building, testing, and deploying) of new and/or modified DMA components and services in the context of SOA. The State seeks to understand how the bidder organizes level of effort estimates in this regard.
- viii. Provide a sample information and technology architecture and supporting documentation from a previous project.
- ix. Provide a sample services catalogue and supporting documentation from a previous project.
- x. Describe the bidder's capacity, incident, and problem management processes and methods.

2. Data Management

a. Overview

The State requires the Contractor to implement and operate a data management platform that provides trusted data across the business flow of the State Medicaid Enterprise. Data management involves architecture, modeling, standards, metadata, data semantics, data harmonization strategies, data ownership and management, interoperability, security & privacy, access methods, data integrity, data quality, and performance standards. The State seeks to understand how the Contractor maps, inventories, and controls the DMA data flows through business processes throughout the data lifecycle.

b. **Requirements**

The Contractor must meet the following minimum requirements.

ID	DMA Data Management
523	Must provide, implement, and maintain a State approved Data Management Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.
524	Must perform data management processes, activities, and tasks that include managing all DMA data, data standards, metadata, data semantics, data harmonization, data ownership and management, interoperability, security & privacy, access methods, data integrity, data quality, and performance standards according to the Data Management Plan.
525	Must verify the accuracy and timeliness of reported data.
526	Must screen the data for completeness, logicalness, and consistency.
527	Must collect information in standardized formats to the extent feasible and appropriate.
528	Must implement controls to maintain information integrity. These controls must be in place at all appropriate points of processing. The controls must be tested in periodic audits using a methodology to be developed jointly by the State and the Contractor.

c. **Proposal Response**

The bidder should respond to the following:

- i. Provide an approach, strategy, architecture, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of Data Management for the DMA environment.
- ii. Describe the proposed DMA solution with respect to data stores, data standards, metadata, data semantics, data harmonization strategies, data ownership and management, interoperability, security & privacy, access methods, data integrity, data quality, and performance standards.
- iii. Provide the proposed data flows as driven by the State Medicaid business processes to include maps, inventories, and controls used throughout the data lifecycle.
- iv. Provide recommendations for data management best-practices, including lessons learned and examples of their use in current implementations.
- v. Provide a sample Data Management Plan from a previous project.
- vi. Discuss how the approach has been successful with previous clients.

3. **Data Governance**

a. **Overview**

The State requires the Contractor to provide data governance in coordination with the State to warrant the quality, accessibility, security, usability, and experience of DMA data and services for the State and its trading partners. The Contractor will work with the State to structure the DMA governance framework, policy, and procedures to support efficient and effective decision-making regarding DMA aspects including infrastructure, data, and services. DMA governance will contain guidelines for DMA project stakeholders, decision-making approval processes, DMA related communications, and managing expectations for all users of the DMA.

b. **Requirements**

The Contractor must meet the following minimum requirements.

ID	Data Governance
529	Must provide, implement, and maintain a State approved Data Governance Plan that includes approach, strategy, methodology, process, tools, resourcing, quality and contingency aspects.
530	Must participate and support the State in DMA governance, stewardship, and data management processes according to the Data Governance Plan.

c. **Proposal Response**

The State requires the bidder to have established and proven capabilities and processes for data governance. Information in this regard will be evaluated and scored accordingly. The bidder should respond to the following:

- i. Provide an approach, strategy, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of data governance for the DMA environment.
- ii. Discuss how the approach has been successful with previous clients.
- iii. Provide a sample data governance plan from a previous project.

4. Master Data Management

a. **Overview**

The State requires the Contractor to provide Master Data Management (MDM) capabilities and process to reduce redundancy, remove duplicates, standardize data, and eliminate incorrect data from entering the DMA in order to create an authoritative source of master data. The Contractor will work with the State to structure the DMA MDM framework, policy, and procedures in concert with the State’s evolving enterprise MDM and the Data Governance activities as described in Appendix A - Statement of Work Section O.1.A.

b. **Requirements**

The Contractor must meet the following minimum requirements.

ID	Master Data Management
531	Must provide, implement, and maintain a State approved Master Data Management Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.
532	Must support the global identification, linking and synchronization of entity (e.g. consumer, provider, facility) information across DMA data sources through semantic reconciliation of master data.
533	Must support ongoing master data stewardship and governance requirements through workflow-based monitoring and corrective-action techniques as defined in the Master Data Management Plan.
534	Must enable access and usability of single entity views providing essential identification and reference information across trading partners.
535	Must establish State approved automated processes and workflow for notifying the appropriate State systems of MDM impact transactions (e.g. member address changes).

c. **Proposal Response**

The bidder should respond to the following:

- i. Provide an approach, strategy, architecture, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of Master Data Management (MDM) for the DMA environment.
- ii. Discuss how the approach has been successful with previous clients.
- iii. Provide a sample Master Data Management (MDM) plan from a previous project.

5. Data Models

a. **Overview**

The State requires the Contractor to provide and manage DMA data models for State Medicaid operations including Meta, semantic, conceptual, logical, and physical data models. The DMA should incorporate data modeling techniques and methodologies to model, transact, and persist data in a standard, consistent, and predictable manner that provides a standard means of defining and analyzing data. The State seeks data modeling capabilities and data model operations/management that will support the State to promote and adopt standardized data across data source systems, trading partners, and emerging analytic patterns.

b. **Requirements**

The contractor must meet the following minimum requirements.

ID	Data Models
536	Must provide, implement, and maintain a State approved Data Modeling Plan that includes strategy, methodology, process, tools, resourcing, quality and contingency aspects.
537	Must provide, implement, and maintain State approved DMA Data Models for State Medicaid operations including meta, semantic, conceptual, logical, and physical data models based on State Medicaid business areas and processes.

c. **Proposal Response**

The bidder should respond to the following:

- i. Provide an approach, strategy, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of data modeling for the DMA environment.
- ii. Discuss how the approach has been successful with previous clients.
- iii. Provide sample data models and supporting documentation from a previous project.

6. Data Integration

a. **Overview**

The State requires the Contractor to provide and manage the DMA data integration architecture and operations/management of data transport and processing (e.g. joining, merging, and de-duplication) from all data sources into and within the DMA environment. Data integration includes support for the conceptual and logical mechanisms used for data integration (e.g. ETL/ELT). The State views data integration critical to assembling blended combinations of data that are ultimately more useful for making decisions. The State requires the DMA to optimize data availability, data consolidation, data matching, and aggregation.

b. **Requirements**

The Contractor must meet the following minimum requirements.

ID	DMA Data Integration
538	Must provide, implement, and maintain a State approved Data Integration Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.
539	Must provide, implement, and maintain all State approved data integration processes (e.g., ETL, ELT).
540	Must identify potential duplicate records and, upon confirmation of said duplicate record by the State, resolve the duplication such that the duplicate records are resolved (e.g. linked, merged).
541	Must process transactions to merge and separate records as defined by the State.

c. **Proposal Response**

The bidder should respond to the following:

- i. Provide an approach, strategy, architecture, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of data integration for the DMA environment.
- ii. Discuss how the approach has been successful with previous clients.
- iii. Provide information that quantifies the implementation (building, testing, and deploying) of new and/or modified data integration.
- iv. Provide a sample Data Integration Plan from a previous project.

7. Data Sharing

a. Overview

The State requires the Contractor to provide and manage the DMA data sharing architecture and its operations including the conceptual and logical mechanisms used for data sharing (e.g. ESB, API's, data hubs, repositories, registries). Data sharing must address data semantics, data harmonization strategies, shared-data ownership, compliance, security & privacy, and the quality assurance of shared data. The Contractor will work with the State to structure the DMA Data Sharing framework, policy, and procedures in concert with the State's evolving enterprise data sharing architecture and the Data Governance activities as described in Appendix A - Statement of Work Section O.1.A.

b. Requirements

The Contractor must meet the following minimum requirements.

ID	Data Sharing
542	Must provide, implement, and maintain a State approved Data Sharing Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.
543	Must support data semantics, data harmonization strategies, shared-data ownership, compliance, security & privacy, and the quality assurance of shared data as defined in the Data Sharing Plan.
544	Must provide, implement, and maintain middleware (e.g., ESB/interface/integration engine) that enables DMA to effectively exchange information with the State trading partners as defined in the Data Sharing Plan.
545	Must provide, implement, and maintain middleware (e.g., ESB/interface/integration engine) that streamlines the building, testing, and deploying of new and/or modified data exchanges.
546	Must support the State in the adoption of national mechanisms used for data sharing (i.e., data hubs, repositories, and registries).
547	Must communicate with the State over a secure virtual private network (VPN) as needed.
548	Must transmit and receive data in compliance with all applicable Federal (including but not limited to HIPAA), and State standards and mandates, both currently and in the future.
549	Must provide a flexible framework that allows the import and export of data using industry standard file transmission protocols.
550	Must support open standards and industry standard protocols, such as Secure File Transfer (SFTP), SOAP over HTTPS and JMS/MO messages.

c. Proposal Response

The bidder should respond to the following:

- i. Provide an approach, strategy, architecture, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of data sharing for the DMA environment. Information on the State's current data exchanges and interfaces are described in Section O.8 Data Exchanges & Interfaces.
- ii. Discuss how the approach has been successful with previous clients.
- iii. Provide recommended Data Sharing performance measures and associated severity subject to IV.C.2 language (e.g. transmission rate, error rate) and supporting information and options.
- iv. Provide information that quantifies the implementation (building, testing, and deploying) of new and/or modified data sharing exchanges.
- v. Provide a sample Data Sharing Plan from a previous project.

8. Data Exchanges & Interfaces

a. Overview

The State requires the Contractor to provide and manage the data exchanges and interfaces to support the DMA solution as described throughout the RFP. Data exchanges and interfaces the State currently uses are provided in the bidder's library. However, the Contractor must implement additional interfaces as necessary to meet the requirements of the contract. The State requires the vendor to advise on optimization of the data exchanges and interfaces, including leveraging standards and best-practices.

b. **Requirements**

The Contractor must meet the following minimum requirements.

ID	Data Exchanges & Interfaces
551	Must work with the State and the State trading partners to identify and establish the optimal data exchanges and interfaces for the DMA solution, including mechanisms and methodologies for each data exchange and interface.
552	Must develop, implement, and maintain State approved Interface Control Documents (ICDs) that provide specifications and SLA's for each data exchange and interface.
553	Must develop, implement, and maintain a State approved catalogue of Interface Control Documents (ICDs).
554	Must transmit all appropriate data through the State data exchanges and interfaces as specified in the Interface Control Document.
555	Must provide the capability to interface with existing and future systems via batch file transfers and transactionally via standard service.
556	Must work with the State to develop and support an effective data exchange between the DMA and all stakeholders involved in the DMA business processes, including the State.
557	Must send and receive files and transactions, in formats and methods specified by the State.
558	Must receive and investigate any discrepancies on data exchanges.
559	Must provide the ability to send and receive batch interfaces with the current MMIS solution.
560	Must support real time interfaces/service calls to interoperate and transfer data between the DMA and other systems (e.g. the new NTRAC eligibility system once implemented).
561	Must provide the ability to import data into the system in multiple formats (e.g. XML, csv, fixed length, ASCII, tab-delimited).
562	Must provide proof of data transfer capabilities verified in writing by the State. Proof must constitute the successful transfer of test files via EDI and other agreed upon transfer mechanisms, and that meet the State file format and transfer protocol requirements.

c. **Proposal Response**

The bidder should respond to the following:

- i. Provide an approach, strategy, architecture, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of data exchanges and interfaces for the DMA environment. This approach should be consistent with Section O.7 DMA Data Sharing.
- ii. Explain how the approach has been successful with previous clients.
- iii. Provide information that quantifies the implementation (building, testing, and deploying) of the proposed and any future data exchanges and interfaces. The State seeks to understand how the bidder organizes level of effort estimates in this regard.

9. **Data Transformation**

a. **Overview**

The State requires the Contractor to provide and manage the data transformations to support the DMA solution as described throughout the RFP. The State requires the vendor to advise on the types and optimization of the data transformations, including derived and enriched data, leveraging standards and best-practices.

b. **Requirements**

The Contractor must meet the following minimum requirements.

ID	Data Transformation
563	Must provide, implement, and maintain a State approved Data Transformation Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.
564	Must provide, implement, and maintain the data transformation catalogue/index/metadata based on State approved requirements for the DMA solution, including mechanisms and methodologies for each.
565	Must provide, implement, and maintain State approved business and technical metadata, transformation logic, trace information, and physical data lineage for all applied data transformations, derived and enriched data, calculations, and aggregations.
566	Must provide, implement, and maintain a mechanism to facilitate transformation of data by mapping between State business areas, terms, attributes, and physical data element names, including business glossary and synonym support.

c. **Proposal Response**

The bidder should respond to the following:

- i. Provide an approach, strategy, architecture, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of data transformations for the DMA environment.
- ii. Discuss how the approach has been successful with previous clients.
- iii. Provide information that quantifies the implementation (building, testing, and deploying) of the proposed and future data transformations. The State seeks to understand how the bidder organizes level of effort estimates in this regard.
- iv. Provide a sample Data Transformation Plan from a previous project that includes a list and description of data transformations, including derived and enriched data.

10. **Enterprise Data Warehouse (EDW)**

a. **General**

i. **Overview**

The State requires the Contractor to provide and manage the Enterprise Data Warehouse (EDW) and its operations including all related conceptual and logical mechanisms. The EDW must provide the State with a central repository of data that is created and maintained through integrating data from multiple data sources as described throughout the RFP. The EDW aims for timely delivery of the right information to the right individuals as defined by the State. The data warehouse must transact, persist, and make accessible data that will be used as the basis for all reporting, analysis, and business process support as described within this RFP.

ii. **Requirements**

The Contractor must meet the following minimum requirements.

ID	DMA Enterprise Data Warehouse (EDW)
567	Must provide, implement, and maintain the State approved DMA Enterprise Data Warehouse (EDW) including all related conceptual and logical mechanisms.
568	Must operate a State approved continuous improvement process of the EDW.
569	Must provide, implement, and maintain the State approved multi-dimensional data functionality (e.g., data cubes, data marts) to support operational, derived and aggregated data based on business area, function and process.

iii. Proposal Response

The bidder should respond to the following:

- a) Provide an approach, strategy, methodology, tools and resourcing that clearly articulates the initiation, management, operations, and continuous improvement of the EDW.
- b) Provide the proposed EDW reference model in Medicaid business context that includes the proposed multi-dimensional data (e.g., data cubes, data marts) based on business area, function and process.
- c) Provide best-practice recommendations on infrastructure and environmental aspects related to the proposed EDW.
- d) Provide information that quantifies the implementation (building, testing, and deploying) of new and/or modified aspects of the EDW, including data cubes, data marts. The State seeks to understand how the bidder organizes level of effort estimates in this regard.

b. EDW Architecture

i. Overview

The State requires the Contractor to provide and manage the DMA EDW architecture and its operations including all related conceptual and logical mechanisms. The EDW architecture must address data semantics, data harmonization strategies, data ownership, compliance, security & privacy, and the quality assurance of EDW data. The State is not mandating any particular EDW architectural pattern or solution. However, the EDW architecture must reflect design principles associated with high quality, service-oriented, industry best-practices and trends. The EDW architecture must be agile, elastic, and configurable to effectively incorporate new and seemingly unrelated data from data sources in support of the State's business and analytic activities.

ii. Requirements

The Contractor must meet the following minimum requirements.

ID	EDW Architecture
570	Must provide, implement, and maintain a State approved Enterprise Data Warehouse (EDW) Architecture that provides EDW architecture views using architectural standards, includes alignment to all DMA related components of business, technology, and information, and addresses data semantics, data harmonization strategies, data ownership, compliance, security & privacy, and the quality assurance of EDW data.
571	Must provide, implement, and maintain multi-dimensional data architecture (e.g., data cubes, data marts) that supports both derived and aggregated data based on business area, function and process.

iii. Proposal Response

The bidder should respond to the following:

- a) Provide an approach, strategy, architecture, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of the EDW architecture.
- b) Provide the proposed EDW architecture that includes sample documentation and illustration of the EDW architecture views using architectural standards and includes alignment to related components of business, technology, and information. Include the proposed multi-dimensional architecture (e.g., data cubes, data marts) based on business area, function and process.
- c) Provide best-practice recommendations on infrastructure and environmental aspects related to the proposed EDW architecture.
- d) Provide information that quantifies the implementation (building, testing, and deploying) of new and/or modified aspects of the EDW architecture, including data cubes, data marts. The State seeks to understand how the bidder organizes level of effort estimates in this regard.
- e) Provide a sample EDW architecture and supporting documentation from a previous project.

c. **EDW Tools and Methods**

i. **Overview**

The State requires the Contractor to provide capabilities and support for DMA EDW tools and methods including all related conceptual and logical mechanisms. The State is not mandating any particular EDW tools and/or methods. However, the EDW tools and methods must reflect principles associated with high quality, service-oriented, industry best-practices and trends. The State requires the data warehousing process to be iterative in nature, and require change over time. Therefore, the EDW must be agile, elastic, and configurable to effectively support the State.

ii. **Requirements**

The Contractor must meet the following minimum requirements.

ID	EDW Tools and Methods
572	Must provide, implement, and maintain EDW tools and methods that support design, development, deployment, and maintenance of the EDW.
573	Must provide, implement, and maintain State approved data prototyping tools and methods to promote understanding of DMA EDW usage as aligned to business objectives.
574	Must provide, implement, and maintain State approved data mining tools and methods to identify and report on various patterns, generalizations, dependencies, and anomalies within the data.

iii. **Proposal Response**

The bidder should respond to the following:

- a) List and describe the proposed EDW tools and methods that meet each of the aforementioned requirements. Provide screenshots where applicable.
- b) List and describe value added EDW tools and methods that the bidder proposes will be valuable beyond the aforementioned requirements. Provide screenshots where applicable.
- c) Describe how the aforementioned EDW tools and methods will be used in the context of the State Medicaid operations. Present functionality in business context (e.g. business function, user/role), providing screenshots, examples, and best practice recommendations for utilization.

11. **Reporting and Analytics Tools and Methods**

a. **Overview**

The State requires the Contractor to provide capabilities and support for reporting and analytics tools and methods to support the business as described throughout the RFP. The State requires support for traditional, statistical, cluster, predictive, prescriptive, sampling, extrapolation, trending, and geospatial reporting and analytics. Format, visualization, and data manipulation capabilities must include, but are not limited to, data transformations, algorithms, scorecards, dashboards, dynamic filtering, and drill downs. The State requires the Contractor to advise on the implementation and support of these capabilities based on its understanding of the State’s Medicaid business model.

b. **Requirements**

The Contractor must meet the following minimum requirements.

ID	Reporting and Analytics Tools and Methods
575	Must provide, implement, and maintain reporting and analytic tools and methods that provide users the ability to query, analyze, and report on multidimensional data.
576	Must provide, implement, and maintain reporting and analytic tools and methods that provide users the ability to slice, dice, and rollup the results of queries and analysis.
577	Must provide, implement, and maintain reporting and analytic tools and methods that support traditional, statistical, cluster, predictive, prescriptive, sampling, extrapolation, trending, and geospatial reporting and analysis.

ID	Reporting and Analytics Tools and Methods
578	Must provide, implement, and maintain reporting and analytic tools and methods that provide users the ability to establish and modify delivery schedule and mode of delivery for reports and analytics based on configurable rules.
579	Must provide, implement, and maintain reporting and analytic tools and methods that provide users the ability to merge geospatial datasets.
580	Must provide, implement, and maintain reporting and analytic tools and methods that provide users the ability to load and unload data efficiently.
581	Must provide, implement, and maintain reporting and analytic tools and methods that provide users the ability to integrate data through cross-platform SQL queries.
582	Must provide, implement, and maintain reporting and analytic tools and methods that provide users the ability to compare and synchronize data between different data sources.
583	Must provide, implement, and maintain reporting and analytic tools and methods that support statistical analysis (e.g. mathematical and statistical calculations).
584	Must provide, implement, and maintain reporting and analytic tools and methods that support random sampling, using standard statistical methodologies for monitoring functions.
585	Must provide, implement, and maintain reporting and analytic tools and methods that support creating temporary data elements for reports by specifying functions that operate on existing data elements.
586	Must provide, implement, and maintain reporting and analytic tools and methods that provide the ability for use by novice and expert users to generate charts, graphs, and other visual representations of data results.
587	Must provide, implement, and maintain reporting and analytic tools and methods to create scorecards and dashboards.
588	Must provide, implement, and maintain reporting and analytic tools and methods that provide the ability to make all reporting assets (e.g. reports, dashboards) available through online, hardcopy, and industry standard data extract outputs including CSV, Microsoft Excel, Microsoft Word, and Adobe PDF.
589	Must provide, implement, and maintain reporting and analytic tools and methods that provide the ability to generate information (e.g. reports, data sets, alerts, notifications) based on configurable rules applied against queried data (e.g. notify User X if # of encounters exceed N), on demand or scheduled.

c. **Proposal Response**

The bidder should respond to the following:

- i. List and describe the proposed reporting and analytics tools and methods that meet each of the aforementioned requirements. Describe analytics in the context of an analytics spectrum (e.g. descriptive, diagnostic, predictive, and prescriptive). Provide screenshots where applicable.
- ii. List and describe value added reporting and analytics tools and methods that the bidder proposes will be valuable beyond the aforementioned requirements. Provide screenshots where applicable.
- iii. Describe how the aforementioned reporting and analytics tools and methods will be used in the context of the State Medicaid operations. Present functionality in business context (e.g. business function, user/role), providing screenshots, examples, and best practice recommendations for utilization.

12. Rules Engine & Rules Management

a. **Overview**

The State requires the Contractor to provide rules engine and rules management capabilities including all related conceptual and logical mechanisms. The State is not mandating any particular rules engine architectural pattern or solution. However, the rules engine must reflect design principles associated with high quality, service-oriented, industry best-practices and trends for business rules management systems (BRMS). The rules engine and rules engine management must be agile and configurable to effectively incorporate new and modified rules across the DMA environment. These capabilities are referred to throughout the RFP as “configurable rules”. Addition, modification, and deletion of rules must follow the approved change management processes.

b. **Requirements**

The Contractor must meet the following minimum requirements.

ID	Rules Engine & Rules Management
590	Must enable policies, rules, operational logic, and related decisions to be defined, tested, executed, and maintained separately from application code.
591	Must perform rules addition, deletion, and modification per State direction and approval without modifying the application code.
592	Must support rules management (rules addition, deletion, modification and validation) in natural language, English-like syntax without the need to learn a specialized coding language.
593	Must provide the ability to clone rules, modify them and then implement them as new separate rules.
594	Must test, validate and receive State approval for rule changes prior to implementation.
595	Must provide the capability for users to receive push notifications/alerts based on user-configurable parameters (rules and/or rules groups).
596	Must provide the capability to track and report rule usage, exception usage, and when a rules fail to work as designed, and provide recommendations to resolve rule failure.
597	Must provide the capability for a multi-level rule review and approval process that will validate logic errors, conflicts, redundancy and incompleteness across business rules to identify any conflicts in business rules as they are being developed, tested, and implemented.
598	Must provide version control including the ability to revert to a prior version of the rules if there are unwanted or unexpected consequences of a rule change.

c. **Proposal Response**

The bidder should respond to the following:

- i. Provide an approach, strategy, architecture, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of the business rules management system (BRMS).
- ii. Discuss how the approach has been successful with previous clients.
- iii. Provide the proposed BRMS architecture that includes sample documentation and illustration of the interaction and alignment with DMA components.
- iv. Provide best-practice recommendations on implementation and operation of the BRMS for this project.
- v. Provide information that quantifies the implementation (building, testing, and deploying) of new and/or modified rules. The State seeks to understand how the bidder organizes level of effort estimates in this regard.
- vi. Provide sample supporting documentation on the BRMS and a rules catalogue from a previous project.

13. **DMA Auditing and Controls**

a. **Overview**

The State requires the Contractor to provide, implement and operate mission critical auditing and control capabilities within the DMA environment. The ability to audit and control all actions performed by authorized DMA users and those actions performed internally by the DMA system is critical to maintain data and system integrity, protect data accuracy, and preserve an accurate historical record of the changes made in the system.

b. **Requirements**

The Contractor must meet the following minimum requirements.

ID	DMA Auditing and Control
599	Must provide, implement, and maintain a State approved DMA Audit and Control Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.
600	Must track, log, and provide reporting on, in human readable format, data changes including State approved audit information such as the date, time and user or system making the change.

ID	DMA Auditing and Control
601	Must track, log, and provide reporting on, in human readable format, inquiries, views, reports, or access of data that may require such tracking as a result of law, policy, or data use agreements including State approved audit information such as the date, time and user or system initiating the transaction.
602	Must provide controls including preventive controls (i.e. controls designed to prevent errors and unauthorized events from occurring), detective controls (i.e. controls designed to identify errors and unauthorized transactions which have occurred in the system), and corrective controls (controls to ensure the correction of problems identified by detective controls).
603	Must support the State during all external audits, reviews and collaborations such as Medi-Medi, PERM, T-MSIS, OIG and MIC. Support includes capturing and providing all data required to comply with such audits as defined by the State within the required time frames.
604	Must work with the State to provide external auditors access to data and participate in the audits as required by the State.
605	Must document and store DMA data and maintain electronic audit trails throughout the data lineage.
606	Must make system information available to duly authorized representatives of the State and other State or Federal agencies to evaluate, through inspections or other means, the quality, appropriateness, and timeliness of services performed.
607	Must incorporate audit trails into all systems to allow information about source data files and documents to be traced through the processing stages to the point at which the information is finally recorded.
608	Must support audit trail information for all transactions (user and system initiated) that includes the user, date/time and before/after values of data affected by the transaction and, if applicable, the ID of the system job that effected the action.
609	Must provide the date and identification "stamp" displayed on any online inquiry.
610	Must provide the ability to trace data from the final place of recording back to its source data file or document.
611	Must support audit listings, transaction reports, update reports, transaction logs, or error logs.
612	Must facilitate auditing of individual records as well as batch audits.
613	Must maintain audit information online for a minimum of two years and be retrievable within a maximum of 48 hours.
614	Must capture and retain the data that was used at the point in time that a particular action took place. Subsequent changes to data elements should not overwrite the values used to make a determination in the past.
615	Must provide inherent functionality that prevents the alteration of finalized audit records.
616	Must maintain a comprehensive audit trail of systematic and physical access to PHI, PII and FTI.
617	Must track and retain a log of all successful and unsuccessful logins.
618	Must provide online retrieval and access to documents and files for six years in live systems and ten years in archival systems, for audit and reporting purposes.
619	Must provide a maximum of 48-hour turnaround for requests for access to information that is six years old, and a maximum of 72-hour turnaround for requests for access to information in machine readable form, that is between six (6) and ten (10) years old.
620	Must preserve data to support an audit or administrative, civil, or criminal investigation or prosecution in progress; or audit findings or administrative, civil, or criminal investigations or prosecutions are unresolved; then, information must be kept in electronic form until all tasks or proceedings are completed.
621	Must retain historical data submission for a period not less than six years, following generally accepted retention guidelines.

c. **Proposal Response**

The bidder should respond to the following:

- i. Provide an approach, strategy, architecture, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of auditing and control within the DMA environment.
- ii. Discuss how the approach has been successful with previous clients.
- iii. Provide an inventory, description, triggers, data model, usage scenarios and best practice recommendations for available auditable and control events.
- iv. Describe how the audit trail and controls are monitored and managed.
- v. Describe the proposed DMA controls including usage scenarios and best practice recommendations for the DMA environment.

14. DMA Infrastructure and Solution Lifecycle Management

a. **Overview**

The State may choose for the Contractor to provide and host all hardware, software, and connectivity required to maintain and operate the DMA and provide access to all environments (e.g., development, training, production) and authorized DMA system users. The Contractor must manage the DMA infrastructure and solution lifecycle according to the Solution Lifecycle Management (SLM) Plan, maintaining software upgrades and licenses necessary to fulfill the requirements of this RFP and the resulting contract. However, the State requires flexibility for the State to assume at its discretion the hosting or housing responsibilities for one or more environments.

b. **Requirements**

The Contractor must meet the following minimum requirements.

ID	DMA Infrastructure and Solution Lifecycle Management
622	Must provide, implement, and maintain a State approved Infrastructure and Solution Lifecycle Management (ISLM) Plan that includes approach, strategy, methodology, process, tools, resourcing, quality and contingency aspects to manage, track, validate, support, and enforce the specific development and implementation processes for delivering and maintaining the DMA solution, system components, and artifacts.
623	Must provide and maintain all DMA environments (e.g., development, training, production) including licenses applicable for the DMA solution and designated DMA users.
624	Must provide and maintain, capacity sufficient to handle the workload projected for the initial date of operations and must be scalable and flexible so that it can be adapted as needed, within negotiated timeframes, in response to allow for growth in participation volume.
625	Must provide 100% accessibility via the internet and require no desktop software (including specialized plug ins and applets) except for a commercially available web browser.
626	Must meet all American with Disabilities Act (ADA) and Limited English Proficiency (LEP) requirements.
627	Must ensure systems software used by the system (e.g., operating system, databases, web servers, and network management) must be a version that is currently supported under standard maintenance agreements and is generally available during the life of the contract.
628	Must provide availability to systems applications and telecommunications during hours specified by the State.
629	Must detect, track, monitor, and report on processing errors as a result of daily, weekly, monthly processing.
630	Must ensure that all data systems are kept up-to-date, accurate and accessible to the State and/or its agents for inspection, upon request.
631	Must ensure that bandwidth is sufficient to meet the performance requirements of this RFP.
632	Must be responsible for all initial and recurring costs required for access to the State system(s), access to managed care entities and their trading partners, as well as the State access to the DMA's system(s). These costs include, but are not limited to, hardware, software, licensing, authority/permission to utilize any patents, annual maintenance, support, and connectivity with the State, the managed care entity and its trading partners.

ID	DMA Infrastructure and Solution Lifecycle Management
633	Must provide a continuously available electronic mail communication link (email system) to facilitate communication with the State. This email system must be capable of attaching and sending documents created using software compatible with the State's installed version of Microsoft Office and any subsequent upgrades as adopted.
634	Must have in place written systems policies and procedures that document all manual and automated processes for its information systems, including the safeguarding of all its information.
635	Must ensure that the systems and processes within its span of control associated with its data exchanges with the State are available and operational according to specifications and the data exchange schedule.
636	Must respond in writing within a maximum of five (5) calendar days of notification from the State of a system issue.
637	Must resolve the system issue or provide a requirements analysis and specifications document within a maximum of fifteen (15) calendar days.
638	Must correct system issues by the effective date to be approved by the State.
639	Must not schedule systems downtime to perform system maintenance, repair, or upgrade activities to occur during hours that could compromise or prevent critical business operations, unless otherwise agreed to in advance by the State.
640	Must work with the State on any testing initiative required by the State and must provide sufficient system access to allow the State staff to participate in the testing activities.
641	Must provide, implement, and maintain a State approved annual system refresh plan that must outline how information systems within the DMA's span of control will be systematically assessed to determine the need to modify, upgrade, or replace application software, operating hardware and software, telecommunications capabilities, or information management policies and procedures in response to changes in business requirements, technology obsolescence, staff turnover, or any other relevant issues.
642	Must provide, implement, and maintain a State approved annual system refresh plan that must indicate how the DMA will ensure that the version and/or release level of all information system components (application software, operating hardware, and operating software) are always formally supported by the original equipment manufacturer (OEM), software development firm (SDF), or a third party authorized to support the information system component.
643	Must provide, implement, maintain, and be continually ready to implement, a contingency plan to protect the availability, integrity, and security of data during unexpected failures or disasters (either natural or man-made), to continue essential application or information system functions during or immediately following the failure or disaster.

c. **Proposal Response**

The bidder should respond to the following:

- i. Provide an approach, strategy, architecture, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of the DMA solution software, hardware, and IT infrastructure. Include methods and tools for managing all system modifications, configurations, and customizations.
- ii. Discuss how the approach has been successful with previous clients.
- iii. Describe the approach for keeping software versions current and applying patches for security vulnerabilities including monitoring of version and patch availability, scheduling, implementing, and testing.
- iv. Provide infrastructure environment information across all DMA environments (e.g., development, training, production) to include:
 - a) Hardware and infrastructure equipment type, brand, and specifications
 - b) Software type, brand, and specifications including whether owned or leased
 - c) Hardware and infrastructure locations
 - d) Software, hardware and infrastructure time in service
 - e) Hardware and infrastructure equipment maintenance strategies
 - f) Software, hardware and infrastructure support staff capability including the number and ratio of permanent and temporary staff; methodologies supported or trained; and whether staff is in-house or external
- v. Provide recommended ISLM performance measures and severity subject to IV.C.2 and supporting information and options.

V. Turnover

A. Phase Overview

1. Overview

The Turnover Phase covers the transition from Contractor operations of the DMA to operations by a successor Contractor or the State. The incumbent Contractor must be responsible for supporting turnover at the completion of this contract, or in the event of contract termination, to occur smoothly and without operational disruption.

The objective of the Turnover Phase is to provide for an orderly, complete, and controlled transition to a successor while minimizing any disruption of services to the State.

The activities in this phase include planning and execution of the timely transfer of files, software, and documentation specific to the DMA solution as well as training and professional support. The Contractor must ensure that all deliverables and exit criteria are fully executed per the terms of the contract. The State will act as the liaison to ensure participation from all parties during the Turnover Phase.

2. Requirements

The Contractor must meet the following requirements:

Turnover Phase Overview	
644	Must support to the best of the Contractor’s abilities the orderly turnover and transition of all operations to the State’s designated successor.

3. Proposal Response

The bidder should respond to the following:

- a. Provide an overview and approach for turnover based on the bidder’s best-practices.
- b. Discuss how the approach has been successful with previous clients.
- c. Describe any intellectual property claimed and the bidder’s approach and method to eliminate any impact to the intellectual property rights on the turnover to a designated successor.
- d. Propose the length of time in the bidder’s estimation that is necessary for turnover to a successor. For example, if the bidder was taking over the operation of an existing bidder’s data warehouse of the scope and complexity of the RFP, what timeframe would the bidder need to take over the operations?

B. Turnover Planning

1. Overview

Turnover Planning is a critical process necessary for a successful transition to the State or successor Contractor. The Contractor must be responsible for supporting turnover at the completion of this contract, or in the event of contract termination. Turnover must be a seamless event that does not disrupt operations.

2. Requirements

The Contractor must meet the following minimum requirements.

Turnover Planning	
645	Must submit a Turnover Plan, to the State for approval, that includes strategy, methodology, process, tools, quality and contingency aspects within a maximum of two (2) years of the start of operations. The turnover plan must be reviewed and submitted every contract year. The plan must include an inventory list of all materials that will be transitioned and an inventory list of all materials that will not be transitioned during the Turnover Phase.
646	Must produce and submit an updated Turnover Plan to the State for approval within a maximum of thirty (30) days after being informed by the State that the Turnover Phase is to begin.
647	Must include in the Turnover Plan at a minimum, the proposed approach, tasks, schedule, entrance and exit criteria, training, readiness walkthrough process, and documentation update procedures.

	Turnover Planning
648	Must participate in planning sessions with the State and successor Contractor during the turnover phase.

3. Proposal Response

The bidder should respond to the following:

- a. Describe the approach to turnover strategy and methodology that clearly articulates the activities of the process. This includes the various stages and key aspects including the approach to inventory and cross reference of source and target turnover items; process for item extraction; tools needed to execute the turnover; and strategy for data quality assurance and control.
- b. Discuss how the approach has been successful with previous clients.
- c. Include examples of Turnover plans from a previous project.
- d. Explicitly identify proprietary items which the bidder claims will not be provided in turnover, and document recommended mitigations to ensure these proprietary items do not negatively impact the turnover efforts.
- e. Based on lessons learned, provide a list of expected risks and include possible mitigation strategies.

C. Project Management and Systems Development Lifecycle

1. Overview

The Contractor's must ensure the State that there will be a successful transition to the successor with sound project management that is integrated with the project management structure and schedule of the successor. The primary activities in this phase are focused on transition planning to ensure operational readiness for the State and/or successor Contractor. The Contractor must ensure that all deliverables and exit criteria are fully executed per the terms of the contract. The State will act as the liaison to ensure participation from all parties during the Turnover Phase.

2. Requirements

The Contractor must meet the following minimum requirements:

ID	Project Management and SDLC
649	Must manage all aspects of the turnover that affect cost, schedule, performance (scope and quality), risk/issues/opportunities and resources that are under Contractor control.
650	Must prepare and submit the turnover schedule, within a maximum of sixty (60) days after being informed by the State that the Turnover phase is to begin, in cooperation with the successor addressing all turnover activities until the successful transition of operations.
651	Must develop and submit for review and approval a turnover requirements Document; defining roles, responsibilities, and requirements for the State and/or successor Contractor to complete a successful turnover process.
652	Must attend and collaborate joint turnover management meetings with the State and or successor Contractor.
653	Must work with the State and or successor to integrate turnover work plans with dependencies and dates.
654	Must include in the weekly status reporting a list of outstanding contractual items along with a plan for completing these items.
655	Must include in the weekly status reporting a list, for approval by the State, of outstanding items to be transitioned to the State or successor.

3. Proposal Response

The bidder should respond to the following:

- a. Submit examples of Turnover Management Plans from previous projects.
- b. Discuss how the approach has been successful with previous clients.
- c. Describe risks which may impact the State and or new bidder during the turnover process.
- d. Provide two examples of issues that were resolved on previous turnover efforts.

D. Performance and Status Reporting

1. Performance

a. Overview

The Contractor’s performance of turnover activities directly impacts the successor’s ability to assume operations at the end of the contract. The Contractor must submit all turnover items on the turnover inventory list in accordance with the turnover work plan. Delays in submission of turnover items can directly impact the turnover timeline.

The Contractor is responsible for timely performance and completion of the project deliverables. All items on the turnover inventory list are considered individual deliverables. If the Contractor submits a late deliverable the State may require deduction of funds from the Contractor’s monthly operational payment. Submission of a deliverable that meets the schedule but is not deemed to be complete or lacking in quality will be considered late until the rework is completed. Deduction amounts are below.

- i. First ten (10) calendar days of delay - 5% of the amount due.
- ii. Subsequent thirty (30) calendar days of delay - 10% of the amount due.
- iii. Subsequent thirty (30) calendar days of delay - 20% of the total amount due.

Deductions in the invoice are not damages and do not preclude the State from assessing state incurred actual damages resulting from Contractor’s deficiencies in performance.

The State may, at its sole discretion, waive a deduction for extenuating circumstances.

b. Requirements

The Contractor must meet the following requirements:

ID	Turnover – Performance
656	Must submit all turnover items on the turnover inventory list in accordance with the turnover work plan.
657	Must have required expertise available at turnover meetings as request by the State. The State must provide a minimum of one (1) business day notice except in emergency situations.
658	Must deduct any state required deductions from the Contractor’s monthly operational invoices.
659	Must develop and implement corrective action plans as requested by the State.

c. Proposal Response

The bidder should respond to the following:

- i. Provide an overview of the bidder’s approach to corrective actions.
- ii. Discuss how the approach has been successful with previous clients.
- iii. Describe the bidder’s strategy and approach to resolving turnover performance issues in turnover.
- iv.

2. Status Reporting

a. Overview

To ensure the turnover is progressing in an acceptable manner, data must be passed on to State project leadership. Status reporting allows for a common understanding of the project status and can identify issues that can be addressed before negatively impacting the project. In addition to the minimum status reporting needs identified below, a dashboard is required with key metrics that are configurable, flexible, informative, actionable, and succinct.

The anticipated minimum status reporting needs are:

Timeframe	Audience	Information Needed
Weekly	State Project Management State Project Director	Detailed schedule status Activities and accomplishments Risk and issues to be addressed Upcoming resource needs Stakeholder engagement Constraints
Monthly	Steering Committee CMS	Overall project status Milestone status Executive level risks and issues Executive level constraints External communications
Quarterly	Governor Legislature	Overall project status Major accomplishments Constituent impacts

b. **Requirements**

The Contractor must meet the following requirements:

ID	Status Reporting
660	Must prepare and submit a weekly status report specific to turnover activities.
661	Must prepare and submit a monthly status report specific to turnover activities.
662	Must prepare and submit a quarterly status report specific to turnover activities.
663	Must produce transaction data, reports, and performance information that would contribute to program evaluation, continuous improvement in business operations, and transparency and accountability.

c. **Proposal Response**

The bidder should respond to the following:

- i. Describe the bidder’s methodology for capturing detailed project status on turnover related activities (i.e. scheduled tasks, risks, issues, staffing, communications, etc.) at a detailed level and reporting the information as needed based on audience.
- ii. Discuss how the approach has been successful with previous clients.
- iii. Describe the bidder’s methods for determining and reporting overall project status. (I.e. determining whether a project is red, yellow, or green).

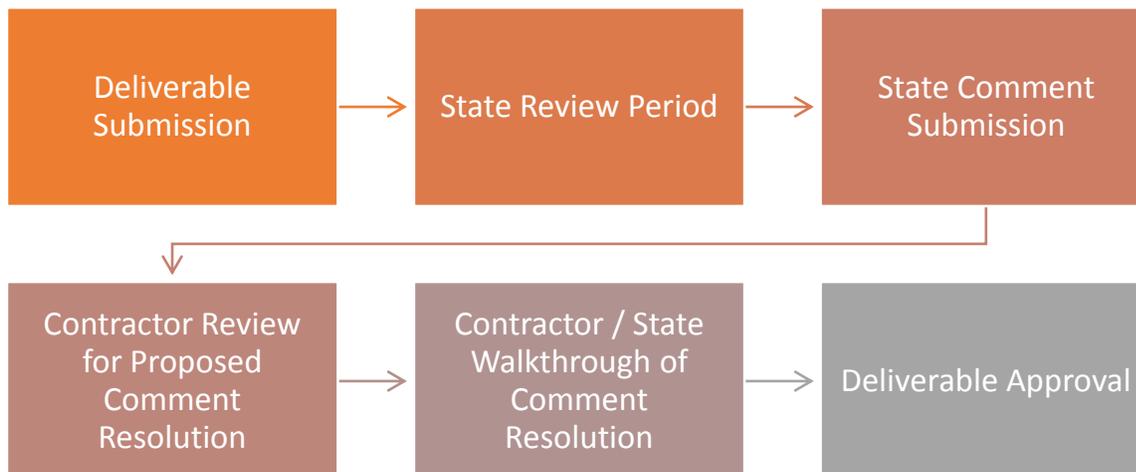
E. Close-Out Deliverables

1. **Overview**

At the end of the Turnover Phase, the State’s expectation is that the Contractor will have completed the maintenance mode for all contracted deliverables. The State reserves the right to request modification of the deliverables, if needed, prior to the State’s approval of the deliverable(s). Deliverable due dates may be modified, if approved in writing, in advance by the State.

a. **Review and Approval**

Regardless of the deliverable provided, the State or designated agent has the responsibility to review and approve Contractor deliverables. Deliverables and updates to deliverables must be submitted to the State or designated agents. The project must adhere to the following review process. The goal of the review process is to avoid multiple resubmissions and returns.



Process Step	Details
Deliverable Submission	The Contractor submits the deliverable to the State or designated agent. In instances with environments and working product, the deliverable submission may be an attestation that the deliverable is complete and ready for review.
State Review Period	The State or designated agent will review the deliverable within the time period agreed to within the final deliverable catalog to provide comment. In instances where a deliverable is not documented, the State is open to contractor proposed review methods and approaches to take place within the proposed time period.
State Comment Submission	The State or designated agent submits comments to the Contractor for resolution. In instances where the Contractor proposes a walkthrough, the comments may be comments provided in the walkthrough. If the Contractor proposes a walkthrough in support of the State or designated agent review, the Contractor must be expected to capture the comments made within the walkthrough for resolution.
Contractor Review for Proposed Comment Resolution	The Contractor must review all state or designated agent comments and document the Contractor's proposed resolution to the comment. If a document change is made, the document changes will be made with tracked changes.
Contractor / State Walkthrough of Comment Resolution	The State or designated agent and Contractor must identify the participants from the respective organizations for the comment resolution walkthrough. The representatives will jointly review the proposed resolution to the comments. The expectation is that both the State or designated agent and Contractor must be reasonable in comment resolution. The review meetings will continue until agreement between the State and Contractor is reached on the resolution of all comments or it is clear that agreement will not be reached at which time the deliverable approval will be escalated as an issue pursuant to the governance model.
Deliverable Approval	The Contractor must submit the final deliverable agreed upon in the previous process step with signed approval from the designed walkthrough attendees from the State and Contractor for final approval.

2. Requirements

The Contractor must meet the following requirements:

ID	Turnover Closeout Deliverables
664	Must provide current versions of all documentation deliverables included in the Contractor's proposed deliverable catalog for the life of the contract in conformance with the provided templates, media, instructions, and procedures and of the quality of the provided examples submitted with the proposal.
665	Must perform work and submit deliverables for State or designated agent review and approval in accordance with the approved frequency as identified in the deliverable catalog.
666	Must allow sufficient time to review and approve each deliverable by scaling to the size and complexity of the deliverable.
667	Must conduct deliverable review sessions prior to submission to the State or designated agent.
668	Must complete all deliverables up to and including State approval prior to turning operations of the solution over to the state or prospective Contractor.
669	Must provide documentation of all necessary resource requirements including staff, hardware and software requirements for successful turnover.

3. Proposal Response

Complete the deliverable section of the deliverable catalog provided in Attachment A - Deliverable Catalog for each deliverable the bidder proposes to provide in the Turnover Phase. Instructions for completing the Catalog are included in Attachment A - Deliverable Catalog.

For non-documentation deliverables, provide a clear explanation of how the bidder will provide the deliverable in a manner in which the State can review, comment upon, and approve the deliverable. Include examples that are representative of what the State will see on the contract.

F. Quality Assurance and Monitoring

1. Overview

The State requires a comprehensive Quality Assurance Plan to ensure efficiency, compliance and performance monitoring to reduce risk and minimize downstream defects. The Contractor will monitor and measure quality assurance activity and identify defects in project deliverables and products. The Contractor must communicate frequently and transparently to build a collaborative approach to quality assurance.

A collaborative approach to quality will:

- a. Ensure appropriate activities are put in place to ensure a high standard of quality.
- b. Ensure input and recommendations are promoted and documented in a timely manner.
- c. Promote early identification and prevention of problems.
- d. Share solutions and institute process improvement to avoid similar issues in the future.
- e. Communicate changes that affect general work procedures or standards.

Quality Assurance and Monitoring encompass all of the Contractor's products including documentation, software products, environments and any other deliverables proposed by the Contractor.

During turnover, it is imperative that the Contractor provide turnover items that are complete, thoughtful and of high quality.

2. Requirements

The Contractor must meet the following requirements:

ID	Turnover Quality Assurance and Monitoring
670	Must update the Operations Quality Assurance Plan for turnover procedures and deliver to the State for approval.
671	Must validate that the Quality Assurance Plan or series of plans for turnover activities has been executed accurately.

ID	Turnover Quality Assurance and Monitoring
672	Must manage, perform and monitor the remaining Quality Assurance steps of the plan.
673	Must maintain the process of recording and addressing corrective and preventive actions through the turnover phase.
674	Must identify and track defects and service level deficiencies.
675	Must use the established rating system for defects.
676	Must certify that all turnover items and deliverables have been completed to the best of the ability of the Contractor in aiding the State and/or successor Contractor be successful in turnover.
677	Must ensure compliance with all Privacy and Security regulations during the turnover phase and maintain confidentiality in the transmission of documentation to the State or the successor Contractor.
678	Must identify and document any issues or deficiencies that remain unresolved at the end of the turnover phase.

3. Proposal Response

The bidder should respond to the following:

- a. Describe the methodology, approach and processes regarding high-level quality assurance activities.
- b. Discuss how the approach has been successful with previous clients.
- c. Describe the escalation methodology, approach and process.
- d. Provide an example of improved results and outcomes through the application of quality management principles from a previous project.
- e. Describe the integration of the bidder's quality assurance and monitoring process during turnover.

G. Change Management

1. Overview

The Contractor is expected to effectively manage change throughout the duration of the contract. Upon completion of the contract change management will become the responsibility of the successor entity taking over the operations.

During the Turnover Phase, there will likely be multiple entities engaged which will require an integrated Change Management Plan. Changes being managed by the Contractor must be known and visible to the State and successor.

The core purpose of Change Management during the Turnover Phase is to minimize changes to existing operations and limit impact on the entity taking over operations for the future. To make this successful, some changes may be denied or postponed until a later date whereas others may be required to continue operations and to support immediate business needs.

Changes will be managed under the existing terms defined in the Operations Change Management Section.

2. Requirements

The Contractor must meet the following requirements:

ID	Change Management
679	Must request and receive State approval prior to implementing a change during the turnover phase of the contract.
680	Must update and submit for review and approval the Operational Change Management Plan to address turnover based on the methodologies proposed to manage and implement changes to the production system during the turnover phase of the contract.
681	Must put into practice and follow the approved updates to the Operational Change Management Plan for Turnover and use sound System Development Life Cycle (SDLC) methodologies to implement system changes while maintain production system operations.

ID	Change Management
682	Must maintain a formal process to track and manage change requests within the turnover phase of the contract.
683	Must provide a projection of change requests to be implemented in the upcoming months prior to turnover.
684	Must analyze all change requests and submit an assessment to the State within a maximum of ten (10) days of the request. At a minimum, the assessment must include resource estimates, cost, schedule, and impacts to external entities and business operations.
685	Must perform a MITA assessment of all change requests and coordinate with the State's MITA Coordinator.
686	Must submit all change requests and analysis results to the State Change Review Board for disposition and prioritization.
687	Must develop and submit for review and approval a detailed Integrated Master Schedule (IMS) for all approved changes; addressing each phase the SDLC and identifying all integration points and dependencies between all Contractors and the State including interfaces, inputs, and outputs that the Contractor requires from other Contractors, the State, or other impacted entities.
688	Must design, develop, test and implement approved changes within the approved IMS timeframes.
689	Must implement changes in a manner with the least possible impact to operations and turnover timeframes while maintaining a high quality delivery.
690	Must provide the ability to rapidly revert to the previous system configuration when a newly implemented change causes an undesirable impact, as defined within the approved Change Management Plan.
691	Must develop and submit for review and approval a remediation plan for reconfiguration and redeployment when a newly implemented change causes an undesirable impact, as defined within the approved Change Management Plan.
692	Must include in the weekly status report an update on the status of each change request in work.
693	Must submit monthly detailed accounting to the State's satisfaction, of the work performed by each individual billing time to change requests.

3. Proposal Response

To understand and evaluate the bidder's approach and culture, the State's expectation is that the bidder should respond to the following:

- a. Describe the bidder's methodology, approach and processes for Change Management and integration of a change request leading up to turnover.
- b. Discuss how the approach has been successful with previous clients.
- c. Describe what standard(s) the bidder's proposed methodologies are based upon.
- d. Include the bidder's proposed Turnover Change Management Plan in the deliverables catalog.
- e. Describe the process of turning over change management responsibilities to the State or successor.
- f. Describe risks and lessons learned from past experiences with change management and integration of a change request during the Turnover phase. Include how those risks were managed.
- g. Describe the types of change requests historically received by the bidder and the typical resource mix (percent of hours) by resource category contained in the bidder's pricing proposal utilized to complete the change requests.

H. Data and Record Migration and Turnover

1. Overview

The migration and turnover of data and records is critical for a successful transition to the State or successor Contractor. This activity must be performed in accordance with the Turnover Plan as discussed in Section 5.2 DMA Turnover Planning.

2. Requirements

The Contractor must meet the following requirements:

ID	Turnover Data and Record Migration
694	Must include details regarding data and record migration within the turnover plan.
695	Must conduct data and related content refreshes according to the approved plan.
696	Must comply with all applicable Federal and State rules, regulations and requirements for all program information, data, and correspondence that is received and/or produced.
697	Must transition all data to the State or successor in the documented physical data model format per the approved turnover plan and schedule. If the Contractor's data model is proprietary, the Contractor may transition in another format, but must provide documentation of the model format including data relationships.
698	Must provide all data documentation to the State and/or successor. Examples of documentation including interface specifications, report specifications, conceptual, logical and physical data models, and the extract transform and load logic for data received during operations, etc. If the Contractor's data model is proprietary, the Contractor must update the documentation to reflect the format in which the data is being transitioned and migrated.

3. Proposal Response

The bidder should respond to the following:

- a. Describe the strategy and approach to data and record migration and turnover that clearly articulates the activities of the process including key aspects to inventory and cross reference of source and target turnover data and related artifacts (e.g. models, metadata); key activities and tasks for data and record migration; tools and resources needed to execute the process; and strategy for data quality assurance and control.
- b. Discuss how the approach has been successful with previous clients.
- c. Include examples of Data and Record Migration plans from a previous project.
- d. Provide checklists, metrics and tools that the bidder plans to use to measure and assess the quality and accuracy of the process and resulting data and record migration.

I. Organizational Staffing

1. Overview

The Contractor must have an organizational staffing model in place to retain appropriate staffing levels for the successful continuation of operations and to support the transition during Turnover. The State requires that adequate staff are provided to successfully support all requirements of the contract until contract closeout is finalized.

The State has identified a minimum number of key staff positions. The State requires the Contractor to provide additional key staff positions based on the Contractor's approach and plan for Turnover.

The State requires the following key personnel to be maintained throughout the duration of the Turnover Phase.

Key Position	Qualifications	Start Date	Special Requirements
Turnover Manager	A strong understanding of the Contractor's systems and operations is essential to successful performance of the turnover function. Therefore, a minimum of five (5) years of experience within the Contractor's organization in a technical management role is required	Within five (5) business days of Contractor receipt of notification that turnover phase is to begin.	<p>Must not serve in any other position.</p> <p>Must be 100 percent allocated to the turnover effort</p> <p>Must be onsite 90% of the time in Lincoln, Nebraska.</p>

2. Requirements

The Contractor must meet the following requirements:

Turnover Organizational Staffing	
699	Must submit and maintain an Organizational Chart for the Turnover Phase.
700	Must submit resumes of Key personnel to the State for approval.
701	Must relieve any of the Contractor's personnel from any further work under the Contract if in the State's sole discretion (i) the individual does not perform at the applicable skill level specified in the Contractor's Technical Proposal or elsewhere in the Contract, (ii) the individual does not deliver work that conforms to the performance standards stated in the RFP, the Contractor's Technical Proposal, and elsewhere in the Contract, or (iii) the person exhibits personal or professional conflicts with State personnel that hinder effective progress on the project. Upon being notified in writing by the State Contract Administrator that a member of the Contractor's personnel is unacceptable, the Contractor must immediately remove that individual from any assignments on the Contract. In the event that a member of the Contractor's personnel is removed pursuant to this paragraph, the process set out for submission of resumes, interviews, and approval must apply as if the person removed were among the Key Personnel.
702	With respect to all vacancies of Key Personnel during the turnover phase, the Contractor must credit the State an amount equal to the full-time labor cost including the Contractor's overhead and margin costs of the unavailable individual, prorated for each day or partial day the position is vacant until the position is satisfactorily filled. For vacancies due to any reason other than dismissal by the State, of the applicable individual, the credit must begin to accrue at the time the vacancy occurs. For vacancies that occur due to the State's request, the credit must begin to accrue on the sixtieth (60th) business day after the vacancy occurs. Key personnel must be replaced with individuals with comparable experience and qualifications as those submitted by the Contractor in the proposal pending state approval. The Contractor is required to submit resumes and allow the State to interview applicants as part of the approval process.
703	Must provide key personnel in accordance with V.I.1.
704	Must provide an interim resource within a maximum of five (5) business days for any key personnel vacancies regardless of the reason for the vacancy.
705	Unless otherwise approved by the State, the Contractor is expected to maintain the same operational staffing levels throughout the completion of turnover as was in place the day before the State informed the Contractor to begin the Turnover Phase in addition to the identified turnover staff. Key personnel must not be reassigned within the Contractor's organization without prior State approval. With respect to all vacancies of key personnel during all phases, the State must receive a credit equal to the full-time labor cost including the Contractor's overhead and margin costs of the unavailable individual, prorated for each day or partial day the position is vacant until the position is satisfactorily filled. For vacancies due to any reason other than dismissal by the State (of the applicable individual), the credit must begin to accrue at the time the vacancy occurs. For vacancies that occur due to the State's request, the credit must begin to accrue on the sixtieth (60th) business day after the vacancy occurs.
706	Key personnel must be replaced with individuals with comparable experience and qualifications as those submitted by the Contractor in the proposal, pending state approval. The Contractor is required to submit resumes and allow the State to interview applicants as part of the approval process. For the purposes of this contract, the contractor must not employ or contract with any individual who has been debarred, suspended, or otherwise lawfully prohibited from participating in any public procurement activity or from participating in non-procurement activities under regulations issued under Executive Order 12549 or under guidelines implementing Executive Order 12549 [42 CFR 438.610(a) and (b), 42 CFR 1001.1901(b), and 42 CFR 1003.102(a) (2)].
707	Must provide a full-time designated turnover manager as a designated point person to interact with the State and successor Contractor until contract closeout is completed.
708	Must provide and retain sufficient turnover staff, inclusive of technical (e.g. systems analysts, technicians) and non-technical (e.g. clerical, business analysts) resources to complete the services and meet the requirements specified in this RFP, and if applicable.
709	Must submit a Staffing Contingency Plan for operations during the Turnover Phase.
710	Must acquire State approval for key staff and key staff replacements.
711	Must provide unrestricted access to appropriate Contractor personnel for discussion of problems or concerns.

Turnover Organizational Staffing	
712	Must cooperate with the State and/or successor Contractor on transition of staff supporting the contract to either the State or the successor.
713	Must not in any way interfere with the transition of employees and/or subContractors to the State or a successor.

3. Proposal Response

The bidder should respond to the following:

- a. The bidder's organizational chart for the Turnover phase of the contract.
- b. Discuss how the approach has been successful with previous clients.
- c. Bidder's approach to employing qualified staff to interact professionally with State and successor bidder staff.
- d. Turnover Staffing Plan detailing structure, key position qualifications, expected number of resources per position, and hours expected per resource.
- e. Names and resumes of key personnel including references.
- f. Staffing Contingency Plan detailing methods, approaches and processes to maintaining adequate staff that manage and support the solution.
- g. Expectations of State and successor bidder staff.
- h. Metrics from a previous project turnover including volume of issues, staffing volume, and resolution timeframe on issues.

J. Cooperation with the State and/or Successor

1. Phase Overview

The State requires the Contractor to work in a cooperative manner with the State and / or the successor contractor to ensure a smooth and orderly transition.

2. Requirements

The Contractor must meet the following requirements:

Turnover Cooperation with Successor	
714	Must provide open access of knowledgeable teams to the State and / or successor Contractor to answer questions.
715	Must coordinate and facilitate timely transition to the State and / or successor Contractor.
716	Must not interfere in any way with the transition to the State and / or successor Contractor.
717	Must provide direction in identifying the necessary processes and procedures for maintenance and support activities.
718	Must provide business operations support as the successor begins assuming the business operations functions.
719	Must demonstrate how the system tools are used to operate, control and maintain the system.
720	Must collaborate with the successor to develop a customized methodology to work with the new technology and infrastructure implemented.
721	Must review the system's stability and performance, system recovery, operations and threshold compliance with the successor.
722	Must provide modifications and corrective actions taken to add to or resolve any deficiencies or omissions discovered in the system.
723	Must provide technical support (e.g. system-related problems, routine maintenance and error resolution, database administration functions, software distribution), as needed during transition.
724	Must provide knowledge transfer/onsite training to the successor.
725	Must plan, facilitate and document turnover discussions among stakeholders.

3. Proposal Response

The bidder should respond to the following:

- a. Describe the bidder's methodology and approach to provide training and knowledge transfer including proposed timing.
- b. Describe how full operational support services will be provided during the transition.
- c. Provide a brief description of how the bidder has successfully worked with successor contactors on past contracts.

K. Contract Closeout

1. Overview

Contract closeout occurs at the end of the Turnover Phase. The State requires the Contractor to have completed all contracted work during the Operations Phase prior to contract closeout. Any incomplete or remaining work in which the Contractor requires to transition to the State and/or successor Contractor must be prior approved by the State. Contract closeout may extend beyond the term of the contract until the Contractor has fulfilled all turnover activities and met all closeout requirements to the State's satisfaction.

2. Requirements

The Contractor must meet the following requirements:

Turnover Contract Closeout	
726	Must complete all activities to the State's satisfaction within the State approved turnover plan, turnover inventory, and work plan.
727	Must transfer all State owned property to the State or State's designee in an orderly manner.
728	Must transition all leases, licenses, etc. for materials or services to the State or designee. (e.g. toll free phone lines, post office boxes, web addresses, hardware, software, facilities, etc.). The State has sole discretion on whether a material or service is not necessary for transfer.
729	Must provide all finalized and production ready documentation organized and cataloged (e.g. User Manual, Business Operating Procedures, Technical Operating Procedures, Training Guide).
730	Must provide all system data to the State or successor (e.g. files, records, transactions).
731	Must complete all work required of the Contractor during the Operations phase of the contract unless otherwise agreed to by the State for turnover to the State or successor.
732	Must implement all maintenance, and started changes in accordance with the agreed upon system release schedule defined in the Operations Change Management Phase.
733	Must resolve malfunctions/defects which existed in the system prior to turnover or which were caused by lack of support at turnover in accordance with the agreed upon response and resolution schedule.
734	Must permanently destroy all confidential data and protected health information entrusted to the Contractor for the performance of the contract upon approval of the State.
735	Must provide an attestation signed by an officer of the Contractor's organization that all transition activities have been completed and all requirements have been met.

3. Proposal Response

The bidder should respond to the following:

- a. Describe the methodology, approach and processes for meeting the requirements of this section.
- b. Discuss how the approach has been successful with previous clients.