RFP 5330Z1 - Attachment B – Business and Technical Requirements Matrix

Instructions

Complete this business and technical requirements matrix by addressing how the bidder proposes to meet each requirement.

ID	RFP Appendix A - Statement of Work Section	Requirement	Response
001	I.D General – Project Governance	Must participate in the MMIS Replacement Project governance as required by the State.	
002	II.A Design, Development, and Implementation (DDI) – Phase Overview	Must develop a realistic and achievable implementation plan with contingencies throughout rather than assuming the best possible outcome will always occur.	
003	II.A Design, Development, and Implementation (DDI) – Phase Overview	Must provide organizational change management support to the State throughout the DDI phase to prepare the State staff for major operational changes.	
004	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	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	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	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	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
007	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	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	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	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	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must employ a proven project management approach ensuring the transparency of management actions and project results so that all parties remain properly informed.	
010	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must lead coordination with all other organizations whose participation is necessary for project success. The State will reasonably support the Contractor's coordination efforts.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
011	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	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	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	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	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must submit for review and approval by the State all changes to the approved project management plans and IMS.	
014	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
015	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	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	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must perform work in accordance with the approved IMS timeframes.	
017	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must complete and maintain a requirements traceability matrix.	
018	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must provide a State approved Data Management Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.	
019	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must provide a State approved Data Governance Plan that includes approach, strategy, methodology, process, tools, resourcing, quality and contingency aspects.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
020	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	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	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must provide a State approved Data Modeling Plan that includes strategy, methodology, process, tools, resourcing, quality and contingency aspects.	
022	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	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	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must provide a State approved Data Sharing Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.	
024	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must provide, implement, and maintain a State approved Data Transformation Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
025	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	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.	
026	II.C.1 Design, Development, and Implementation (DDI) – Performance and Status Reporting	Must prepare and submit a weekly status report.	
027	II.C.1 Design, Development, and Implementation (DDI) – Performance and Status Reporting	Must prepare and submit a monthly status report.	
028	II.C.1 Design, Development, and Implementation (DDI) – Performance and Status Reporting	Must prepare and submit a quarterly status report.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
029	II.C.1 Design, Development, and Implementation (DDI) – Performance and Status Reporting	The Contractor must provide weekly (or any other interval requested by the State) baseline project plan-based reports that demonstrate: 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	II.C.1 Design, Development, and Implementation (DDI) – Performance and Status Reporting	Must prepare and submit other status documents as necessary to support the DDI progress.	
031	II.C.2 Design, Development, and Implementation (DDI) – Performance and Status Reporting	Must deduct any State-required monetary penalties from the Contractor's deliverable invoices.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
032	II.C.2 Design, Development, and Implementation (DDI) – Performance and Status Reporting	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.StateStateState	
033	II.C.2 Design, Development, and Implementation (DDI) – Performance and Status Reporting	Must submit all required evidence to the State for approval of completed CAPs.	
034	II.C.2 Design, Development, and Implementation (DDI) – Performance and Status Reporting	Must report on the status of corrective actions in weekly status reports until the issue that prompted the need for the CAP is resolved.	
035	II.D Design, Development, and Implementation (DDI) – Deliverables	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	II.D Design, Development, and Implementation (DDI) – Deliverables	Must perform all deliverables included in the deliverable catalog.	
037	II.D Design, Development, and Implementation (DDI) – Deliverables	Must provide the State with reasonable review periods applicable to the deliverable.	
038	II.D Design, Development, and Implementation (DDI) – Deliverables	Must perform work and submit deliverables for State review and approval in accordance with the approved IMS scheduled dates.	
039	II.D Design, Development, and Implementation (DDI) – Deliverables	Must provide a tracking capability for tracking of deliverable submission and review status.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
040	II.D Design, Development, and Implementation (DDI) – Deliverables	Must submit any changes to previously approved deliverables for approval through the review process.	
041	II.E Design, Development, and Implementation (DDI) – Quality Assurance and Monitoring	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	II.E Design, Development, and Implementation (DDI) – Quality Assurance and Monitoring	Must manage and perform all aspects of quality assurance and monitoring necessary to meet the requirements of this contract.	
043	II.E Design, Development, and Implementation (DDI) – Quality Assurance and Monitoring	Must develop documented quality assurance procedures.	
044	II.E Design, Development, and Implementation (DDI) – Quality Assurance and Monitoring	Must report within the weekly status report identified deficiencies with weekly updates until deficiencies are corrected.	
045	II.E Design, Development, and Implementation (DDI) – Quality Assurance and Monitoring	Must develop, submit, and put into practice a comprehensive test plan to ensure that the provided solution effectively meets the requirements.	
046	II.E Design, Development, and Implementation (DDI) – Quality Assurance and Monitoring	Must provide and follow a rating system for defects.	
047	II.F Design, Development, and Implementation (DDI) – Change Management	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
048	II.F Design, Development, and Implementation (DDI) – Change Management	Must implement change requests in a manner with the least possible impact to the project timeframes and budget while maintaining a high quality delivery.	
049	II.F Design, Development, and Implementation (DDI) – Change Management	Must document change requests utilizing a format and process approved by the State.	
050	II.F Design, Development, and Implementation (DDI) – Change Management	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	II.F Design, Development, and Implementation (DDI) – Change Management	Must monitor changes in Federal and State laws and rules for impacts to the project.	
052	II.F Design, Development, and Implementation (DDI) – Change Management	Must support discussions and meetings on the disposition of change requests with the necessary team members to enable decision making.	
053	II.F Design, Development, and Implementation (DDI) – Change Management	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	II.F Design, Development, and Implementation (DDI) – Change Management	Must submit a Change Management Plan detailing the change management process and approach along with a visual aid of the overall process and approach.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
055	II.G Design, Development, and Implementation (DDI) – Data Conversion and Data Load	Must submit a Data Conversion and Load Plan that includes strategy, methodology, process, tools, quality and contingency aspects.	
056	II.G Design, Development, and Implementation (DDI) – Data Conversion and Data Load	Must develop Data Conversion specifications and mappings for all data sets to be converted and loaded.	
057	II.G Design, Development, and Implementation (DDI) – Data Conversion and Data Load	Must plan, test, execute and manage the Data Conversion process and data load from all source systems.	
058	II.G Design, Development, and Implementation (DDI) – Data Conversion and Data Load	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	II.G Design, Development, and Implementation (DDI) – Data Conversion and Data Load	Must convert and load the appropriate data from all State systems necessary to support the requirements of the contract.	
060	II.H Design, Development, and Implementation (DDI) – Environments	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	II.H Design, Development, and Implementation (DDI) – Environments	Must manage and maintain software upgrades and licenses necessary to fulfill the requirements of the contract.	
062	II.H Design, Development, and Implementation (DDI) – Environments	Must provide environments that enforce standard security and privacy.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
063	II.H Design, Development, and Implementation (DDI) – Environments	Must submit an infrastructure and architecture plan describing the DDI environments and network connectivity.	
064	II.I Design, Development, and Implementation (DDI) – Disaster Recovery	Must submit a Disaster Recovery Plan for DDI that includes strategy, methodology, process, tools, quality and contingency aspects.	
065	II.I Design, Development, and Implementation (DDI) – Disaster Recovery	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	II.I Design, Development, and Implementation (DDI) – Disaster Recovery	Must maintain system redundancy as identified in the Disaster Recovery Plan and approved by the State.	
067	II.J Design, Development, and Implementation (DDI) – Facility	Must provide secure facilities for hosting of all environments within the continental United States.	
068	II.J Design, Development, and Implementation (DDI) – Facility	Must have plans in place at Contractor provided facilities to minimize project work impact due to outages.	
069	II.J Design, Development, and Implementation (DDI) – Facility	Must have controlled access to all Contractor facilities in compliance with privacy and security requirements.	
070	II.K Design, Development, and Implementation (DDI) – Organizational Staffing	Must provide criminal background initial investigations on all personnel prior to project assignment and follow-up investigations every five years.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
071	II.K Design, Development, and Implementation (DDI) – Organizational Staffing	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	II.K Design, Development, and Implementation (DDI) – Organizational Staffing	Must submit resumes of Key personnel to the State for approval, for chage in personnel.	
073	II.K Design, Development, and Implementation (DDI) – Organizational Staffing	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
074	II.K Design, Development, and Implementation (DDI) – Organizational Staffing	With respect to all persisting 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 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	II.K Design, Development, and Implementation (DDI) – Organizational Staffing	Must provide key personnel in accordance with II.K.1.	
076	II.K Design, Development, and Implementation (DDI) – Organizational Staffing	Must ensure that customer facing staff are within Lincoln, Nebraska 90% of the time during the implementation.	
077	II.K Design, Development, and Implementation (DDI) – Organizational Staffing	Must maintain an Organizational Chart and project contact list.	
078	II.K Design, Development, and Implementation (DDI) – Organizational Staffing	Must acquire State approval for key staff and key staff replacements.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
079	II.K Design, Development, and Implementation (DDI) – Organizational Staffing	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	II.K Design, Development, and Implementation (DDI) – Organizational Staffing	Must not reassign or replace key personnel without prior approval from the State.	
081	II.K Design, Development, and Implementation (DDI) – Organizational Staffing	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.	
082	II.L Design, Development, and Implementation (DDI) – Documentation	Must provide and maintain an online repository accessible by State staff and designees for all project documentation.	
083	II.L Design, Development, and Implementation (DDI) – Documentation	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	II.L Design, Development, and Implementation (DDI) – Documentation	Must provide user and system documentation that is effective for both new and experienced users.	
085	II.L Design, Development, and Implementation (DDI) – Documentation	Must develop and provide project notes and artifacts.	
086	II.L Design, Development, and Implementation (DDI) – Documentation	Must provide Companion Guides, tutorials, help files, FAQ's and tool tips.	
087	II.L Design, Development, and Implementation (DDI) – Documentation	Must develop a meaningful classification system to organize the documentation by type, subject, phase, and audience.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
088	II.L Design, Development, and Implementation (DDI) – Documentation	Must produce agendas and minutes of project meetings and maintain in the online repository.	
089	II.M Design, Development, and Implementation (DDI) – User Support	Must provide State users access to each environment as directed by the State.	
090	II.M Design, Development, and Implementation (DDI) – User Support	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 SState business days.	
091	II.M Design, Development, and Implementation (DDI) – User Support	Must resolve user access issues within a maximum of one (1) business day.	
092	II.M Design, Development, and Implementation (DDI) – User Support	Must provide telephone and email support for user support and questions.	
093	II.M Design, Development, and Implementation (DDI) – User Support	Must provide training to users as needed in support of the DDI phase.	
094	II.M Design, Development, and Implementation (DDI) – User Support	Must provide user access within a maximum of one (1) business day and user termination within a maximum of one (1) hour of request.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
095	II.N Design, Development, and Implementation (DDI) – System Readiness	Prior to the start of system readiness, must submit a signed attestation to the State that the system: • 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 planned conversion logic. • Security roles have been established as planned for in the production environment. Interfaces have been confirmed as being functional.	
096	II.N Design, Development, and Implementation (DDI) – System Readiness	Must perform system readiness testing of all system functionality.	
097	II.N Design, Development, and Implementation (DDI) – System Readiness	Must provide a comprehensive System Readiness Test Plan.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
098	II.N Design, Development, and Implementation (DDI) – System Readiness	Must conduct end-to-end testing with interface partners both external and internal	
099	II.N Design, Development, and Implementation (DDI) – System Readiness	Must include defect status information in the weekly status report.	
100	II.N Design, Development, and Implementation (DDI) – System Readiness	Must provide documented results and conduct walkthroughs of test results.	
101	II.N Design, Development, and Implementation (DDI) – System Readiness	Must receive State approval to entering and exiting system readiness.	
102	II.N Design, Development, and Implementation (DDI) – System Readiness	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.	
103	II.O Design, Development, and Implementation (DDI) – Operational Readiness	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	II.O Design, Development, and Implementation (DDI) – Operational Readiness	Must develop and provide Business and Technical Operating Procedures to the State for approval.	
105	II.O Design, Development, and Implementation (DDI) – Operational Readiness	Must submit a signed certification to the State of operational readiness including results of operational readiness checklists and testing.	
106	II.O Design, Development, and Implementation (DDI) – Operational Readiness	Must provide training and training materials for all operational aspects of the solution to all end users, internal and external.	
107	II.O Design, Development, and Implementation (DDI) – Operational Readiness	Must test and certify that all components are ready for operations.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
108	II.O Design, Development, and Implementation (DDI) – Operational Readiness	Must perform, monitor, and document operational testing results.	
109	II.O Design, Development, and Implementation (DDI) – Operational Readiness	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	II.O Design, Development, and Implementation (DDI) – Operational Readiness	Must provide and walkthrough an Operational Readiness Report.	
111	II.O Design, Development, and Implementation (DDI) – Operational Readiness	Must receive State approval prior to entering and exiting operational readiness.	
112	II.P Design, Development, and Implementation (DDI) – Privacy and Security	Must develop a Privacy and Security Plan. This plan must include both physical and network security.	
113	II.P Design, Development, and Implementation (DDI) – Privacy and Security	Must maintain a comprehensive audit trail of systematic and physical access to PHI.	
114	II.P Design, Development, and Implementation (DDI) – Privacy and Security	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	II.P Design, Development, and Implementation (DDI) – Privacy and Security	Must inform the State of any potential, suspected, or confirmed breach immediately upon Contractor becoming aware.	
116	II.P Design, Development, and Implementation (DDI) – Privacy and Security	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.	

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117	II.P Design, Development, and Implementation (DDI) – Privacy and Security	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	II.P Design, Development, and Implementation (DDI) – Privacy and Security	Must de-identify data for testing purposes.	
119	II.P Design, Development, and Implementation (DDI) – Privacy and Security	Must de-identify data and maintain the value of the data without compromising the ability to run analytics and applications.	
120	II.P Design, Development, and Implementation (DDI) – Privacy and Security	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.	

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121	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	Must develop an implementation and contingency plan documenting: • 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	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
123	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	Must validate all production data (e.g. reference, history) and source code is loaded to the appropriate environments.	
124	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	Must validate that interfaces to exchange data are production ready.	
125	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	Must validate that appropriate network connectivity is in place and production ready.	
126	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	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	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	Must provide the State with all reasonably requested information to support a go / no-go decision prior to go-live.	
128	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	Must receive State approval prior to beginning the implementation and prior to go-live.	
129	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	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	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	Must provide event driven communications updates to designated State staff and leadership during cut over.	

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131	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	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	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	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.	
133	III.A Initial Operations and CMS Certification – Phase Overview	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	III.A Initial Operations and CMS Certification – Phase Overview	Must coordinate with the State and other contractors as necessary to achieve certification retro-active to the date of implementation.	
135	III.B Initial Operations and CMS Certification – Initial Operations Support and Management	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	III.B Initial Operations and CMS Certification – Initial Operations Support and Management	Must immediately inform the State's designated contact person of any issues with immediate external impact.	

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137	III.B Initial Operations and CMS Certification – Initial Operations Support and Management	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	III.B Initial Operations and CMS Certification – Initial Operations Support and Management	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	III.B Initial Operations and CMS Certification – Initial Operations Support and Management	Must ensure that no scope, schedule, budget or resource issues impact existing projects in process while providing operations support.	
140	III.B Initial Operations and CMS Certification – Initial Operations Support and Management	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.	
141	III.C Initial Operations and CMS Certification – CMS Certification	Must submit a certification plan within a minimum of 120 days prior to implementation.	

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142	III.C Initial Operations and CMS Certification – CMS Certification	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	III.C Initial Operations and CMS Certification – CMS Certification	Must provide any necessary support to the State throughout the CMS certification planning and review process.	
144	III.C Initial Operations and CMS Certification – CMS Certification	Must provide training and education to State personnel on the most current CMS certification process prior to the start of certification activities.	
145	III.C Initial Operations and CMS Certification – CMS Certification	Must remedy all system or operational issues required for CMS certification.	
146	III.D Initial Operations and CMS Certification – Organizational Staffing	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	III.D Initial Operations and CMS Certification – Organizational Staffing	Must submit resumes of Key personnel to the State for approval.	

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148	III.D Initial Operations and CMS Certification – Organizational Staffing	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.	

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149	III.D Initial Operations and CMS Certification – Organizational Staffing	With respect to all persisting vacancies of Key Personnel during the DDI phase, 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 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	III.D Initial Operations and CMS Certification – Organizational Staffing	Must provide key personnel in accordance with III.D.1.	
151	III.D Initial Operations and CMS Certification – Organizational Staffing	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	III.D Initial Operations and CMS Certification – Organizational Staffing	Must provide a certification manager to interact in tandem, with the State and the IV&V vendor.	
153	III.D Initial Operations and CMS Certification – Organizational Staffing	Must provide an adequate team of resources to monitor, track, and correct identified issues.	

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154	III.D Initial Operations and CMS Certification – Organizational Staffing	Must provide an adequate team of dedicated resources for preparation and support of CMS certification.	
155	III.D Initial Operations and CMS Certification – Organizational Staffing	Must maintain an adequate number of staff to support the initial operations enhanced activities in addition to the normal operational staff.	
156	III.D Initial Operations and CMS Certification – Organizational Staffing	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.	
157	III.E Initial Operations and CMS Certification – User Support	Must provide a documented User Support Plan for user support during the initial operations and CMS certification phase.	
158	III.E Initial Operations and CMS Certification – User Support	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	III.E Initial Operations and CMS Certification – User Support	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	III.E Initial Operations and CMS Certification – User Support	Must provide an adequate number of staff and expertise for the help desk.	
161	III.E Initial Operations and CMS Certification – User Support	Must prioritize and resolve issues coming into the help desk using mutually agreed upon severity definitions.	
162	III.E Initial Operations and CMS Certification – User Support	Must track, manage, and report on user support requests and statuses using the proposed tool.	

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163	III.E Initial Operations and CMS Certification – User Support	Must facilitate issue status meetings with the State on a daily basis as directed by the State.	
164	III.E Initial Operations and CMS Certification – User Support	Must provide ongoing education and training of user support procedures and policies, particularly when a change in the process is needed or required.	
165	III.F Initial Operations and CMS Certification – Contingency Planning	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	III.F Initial Operations and CMS Certification – Contingency Planning	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.	
167	IV.A Operations Phase - Phase Overview	Must perform all functions necessary to meet all operation requirements, performance, and service levels required for the Operations Phase.	
168	IV.A Operations Phase - Phase Overview	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.	

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169	IV.A Operations Phase - Phase Overview	Must provide recommendations to the State for process and system improvements.	
170	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	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	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	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	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must put into practice and follow the approved Operational SDLC Plan and submit for re-approval any changes to the approved plan.	
173	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	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	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must employ a proven project management approach ensuring the transparency of management actions and project results so that all parties remain properly informed.	
175	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must lead coordination with all other organizations whose participation is necessary for project success. The State must	

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		reasonably support the Contractor's coordination efforts.	
176	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	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	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	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	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	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, successors and variances from baseline.	
179	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must use a commercial, off-the-shelf project planning software for building and maintaining the IMS. However, if it uses software other	

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		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	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	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	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must perform work in accordance with the approved IMS timeframes.	
182	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must perform cohesive project management in all aspects of operational planning, organizing, staffing, scheduling, and monitoring.	
183	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must ensure the transparency of operational management plans, actions and outcomes so that all stakeholders remain properly informed.	
184	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	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	

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		address corrective and preventive actions.	
185	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	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	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must put into practice and follow the approved Operational Project Management Plan and submit for re-approval any changes to the approved plan.	
187	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must schedule, attend, and facilitate recurring Operational Project Management status meetings with the State on an agreed upon schedule.	
188	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must perform production support, and employ sound SDLC methodologies to implement system changes and enhancements while maintaining production system operations.	
189	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	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.	
190	IV.B Operations Phase - Project Management and	Must put into practice and follow the approved Operational Communications Management	

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	Systems Development Life Cycle (SDLC)	Plan and submit for re-approval any changes to the approved plan.	
191	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	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	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	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.	
193	IV.C.1 Operations Phase - Performance and Status Reporting	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	IV.C.1 Operations Phase - Performance and Status Reporting	Must prepare and submit a weekly status report.	
195	IV.C.1 Operations Phase - Performance and Status Reporting	Must prepare and submit a monthly status report.	
196	IV.C.1 Operations Phase - Performance and Status Reporting	Must prepare and submit a quarterly status report.	
197	IV.C.1 Operations Phase - Performance and Status Reporting	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.	
198	IV.C.2 Operations Phase - Performance and Status Reporting	Must deduct the penalty from the Contractor's monthly invoice unless a waiver is obtained in writing from the State contract manager	

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199	IV.C.2 Operations Phase - Performance and Status Reporting	Must develop and implement corrective action plans as requested by the State.	
200	IV.C.2 Operations Phase - Performance and Status Reporting	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.)	
201	IV.D Operations Phase - Deliverables	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	IV.D Operations Phase - Deliverables	Must perform work and submit deliverables for State review and approval in accordance with the approved frequency as identified in the deliverable catalog.	
203	IV.D Operations Phase - Deliverables	Must maintain a status report detailing progress and completion of all approved deliverables.	
204	IV.E Operations Phase - Quality Assurance and Monitoring	Must develop and put into practice a comprehensive Operations Quality Management Plan to infuse quality throughout operations.	
205	IV.E Operations Phase - Quality Assurance and Monitoring	Must update and follow the Operations Quality Management Plan and documented procedures as applicable during the operational phase.	

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206	IV.E Operations Phase - Quality Assurance and Monitoring	Must use the Operations Quality Management Plan for all changes made during the operational phase supporting the terms of this contract.	
207	IV.E Operations Phase - Quality Assurance and Monitoring	Must record and address corrective and preventive actions within the timeframe specified by the State.	
208	IV.E Operations Phase - Quality Assurance and Monitoring	Must maintain and put into practice a test plan for testing of any changes to the provided solutions.	
209	IV.E Operations Phase - Quality Assurance and Monitoring	Must use a proven tool to identify and track defects and SLA deficiencies.	
210	IV.E Operations Phase - Quality Assurance and Monitoring	Must use a rating system for defects.	
211	IV.E Operations Phase - Quality Assurance and Monitoring	Must conduct internal quality reviews for all deliverables before the deliverables are submitted to the State.	
212	IV.E Operations Phase - Quality Assurance and Monitoring	Must establish and maintain written internal quality assurance policies for meeting the requirements of this contract.	
213	IV.F Operations Phase - Change Management	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.	

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214	IV.F Operations Phase - Change Management	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	IV.F Operations Phase - Change Management	Must support discussions and meetings on the disposition of change requests with the necessary team members to enable decision making.	
216	IV.F Operations Phase - Change Management	Must perform a MITA assessment of all change requests and coordinate with the State's MITA Coordinator.	
217	IV.F Operations Phase - Change Management	Must submit all change requests and analysis results to the State for disposition and prioritization.	
218	IV.F Operations Phase - Change Management	Must develop and submit for approval a Business and System Requirements Document (BSRD) for each proposed system change.	
219	IV.F Operations Phase - Change Management	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	IV.F Operations Phase - Change Management	Must adhere to all Project Management and SDLC requirements for all system changes.	

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221	IV.F Operations Phase - Change Management	Must develop and submit for approval an Operational System Release Schedule for all system changes that will be implemented in the upcoming months.	
222	IV.F Operations Phase - Change Management	Must put into practice and follow an approved Operational System Release Schedule and submit for re-approval any changes to the approved schedule.	
223	IV.F Operations Phase - Change Management	Must design, develop, test, and implement approved system changes within the approved Operational System Release Schedule timeframes, throughout the duration of the contract.	
224	IV.F Operations Phase - Change Management	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	IV.F Operations Phase - Change Management	Must request and receive final State approval prior to implementing a change into production.	
226	IV.F Operations Phase - Change Management	Must implement system changes in a manner with the least possible impact to the project timeframes and budget while maintaining a high quality delivery.	

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227	IV.F Operations Phase - Change Management	Must provide the ability to rapidly revert to the previous system configuration when a newly implemented change causes an undesirable impact.	
228	IV.F Operations Phase - Change Management	Must develop and submit for approval a remediation plan for reconfiguration and redeployment when a newly implemented change causes an undesirable impact.	
229	IV.F Operations Phase - Change Management	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	IV.F Operations Phase - Change Management	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	IV.F Operations Phase - Change Management	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	IV.F Operations Phase - Change Management	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.	

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233	IV.F Operations Phase - Change Management	Must monitor changes in Federal and State laws and rules for impacts to operations that require system changes.	
234	IV.F Operations Phase - Change Management	Must fully test system changes prior to inclusion in the production environment.	
235	IV.F Operations Phase - Change Management	Must coordinate external testing with agencies if deemed appropriate by the State.	
236	IV.F Operations Phase - Change Management	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	IV.F Operations Phase - Change Management	Must implement approved changes and additions to the system based on Business Rules and/or Policies in accordance with the agreed upon schedule.	
238	IV.F Operations Phase - Change Management	Must provide a system-inherent mechanism for recording any change to a software module or subsystem.	
239	IV.F Operations Phase - Change Management	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	IV.F Operations Phase - Change Management	Must implement the Configuration Management process within a maximum of fifteen (15) calendar days after receipt of approval by the State	

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241	IV.F Operations Phase - Change Management	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	IV.F Operations Phase - Change Management	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	IV.F Operations Phase - Change Management	Must support discussions and meetings on the disposition of change requests with the necessary team members to enable decision making.	
244	IV.G Operations Phase - Data and Record Retention	Must conduct data refreshes when necessary, that are recoverable.	
245	IV.G Operations Phase - Data and Record Retention	Must provide access to all data including metadata, to authorized users.	
246	IV.G Operations Phase - Data and Record Retention	Must continue to follow the State approved Data Retention and Archive Plan.	
247	IV.G Operations Phase - Data and Record Retention	Must submit a Data Reconciliation Plan for State approval and execute per the approved plan.	
248	IV.G Operations Phase - Data and Record Retention	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.	

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249	IV.G Operations Phase - Data and Record Retention	Must restore archived data for viewing, printing, and exporting to files as requested by the State.	
250	IV.G Operations Phase - Data and Record Retention	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	IV.G Operations Phase - Data and Record Retention	Must archive and purge archived data in accordance with the State archival and purge schedules for all media types.	
252	IV.G Operations Phase - Data and Record Retention	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	IV.G Operations Phase - Data and Record Retention	Must store eState recovery data as provided by the State from 2006 forward.	
254	IV.G Operations Phase - Data and Record Retention	Must retain all data history on-line for a period of time defined by the State.	
255	IV.G Operations Phase - Data and Record Retention	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.	
256	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must provide a Business Continuity and Disaster Recovery Plan that includes strategy, methodology, process, tools, quality and contingency aspects.	
257	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must provide mission critical services as defined by the State that must not be interrupted.	

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258	IV.H Operations Phase - Business Continuity and Disaster Recovery	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	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must maintain system redundancy as identified in the Business Continuity and Disaster Recovery Plan and approved by the State.	
260	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must allow MLTC to perform on-site review of data center area that houses solution servers and redundant hardware.	
261	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must regularly maintain full back up of all data and software at a secure off-site location.	
262	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must establish and adhere to fail-safe back-up and recovery procedures.	
263	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must demonstrate readiness to re-establish a production environment in the event of a disaster.	
264	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must ensure, in the event of a declared major failure or disaster, the DMA must be back online within a maximum of 48 hours of the failure or disaster.	
265	IV.H Operations Phase - Business Continuity and Disaster Recovery	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.	

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266	IV.H Operations Phase - Business Continuity and Disaster Recovery	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	IV.H Operations Phase - Business Continuity and Disaster Recovery	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.	
268	IV.H Operations Phase - Business Continuity and Disaster Recovery	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.	

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269	IV.H Operations Phase - Business Continuity and Disaster Recovery	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	IV.H Operations Phase - Business Continuity and Disaster Recovery	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	IV.H Operations Phase - Business Continuity and Disaster Recovery	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.	

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272	IV.H Operations Phase - Business Continuity and Disaster Recovery	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.	

273	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must provide, implement, maintain, and be continually ready to implement, a contingency plan that must address the following scenarios: • 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	

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		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. The plan must specify projected recovery times and data loss for mission-critical systems in the event of a declared disaster.	
274	IV.H Operations Phase - Business Continuity and Disaster Recovery	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.	
275	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must provide for off-site storage and remote back-up capabilities that that comply with all applicable State and Federal laws, rules and regulations.	
276	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must provide remote back-up that includes operating instructions, procedures, reference files, system documentation, and operational files.	

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277	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must provide data back-up and restoration policy and procedures that include, but not be limited to: • 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	IV.H Operations Phase - Business Continuity and Disaster Recovery	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.	
279	IV.I Operations Phase - Facility	Must develop and submit for State approval an Operations Facility Plan.	
280	IV.I Operations Phase - Facility	Must equip the facility with security equipment ensuring that only authorized individuals are allowed access and internal and external video surveillance.	

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281	IV.I Operations Phase - Facility	Must provide and maintain a secured facility with access as specified by the State that is ADA compliant.	
282	IV.I Operations Phase - Facility	Must maintain a secure server room with appropriate HVAC and security for any application servers located on site at the Contractors facility.	
283	IV.I Operations Phase - Facility	Must equip the Contractor facility with connectivity as required for any and all Contractor personnel.	
284	IV.I Operations Phase - Facility	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	IV.I Operations Phase - Facility	Must provide State access to Contractor's office space as requested during regular business hours.	
286	IV.I Operations Phase - Facility	Must provide off-site facilities for storage with secured access.	
287	IV.I Operations Phase - Facility	Must develop and submit for State approval an Operations Facility Closing Plan.	
288	IV.J Operations Phase - Organizational Staffing	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	IV.J Operations Phase - Organizational Staffing	Must perform criminal background investigations on all personnel and follow-up investigations every 5 years.	

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290	IV.J Operations Phase - Organizational Staffing	Must submit resumes of Key personnel to the State for approval.	
291	IV.J Operations Phase - Organizational Staffing	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.	

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292	IV.J Operations Phase - Organizational Staffing	With respect to all persisting 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 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	IV.J Operations Phase - Organizational Staffing	Must provide key personnel in accordance with Appendix A – Statement of Work Section IV.J.1.a Required Key Positions	
294	IV.J Operations Phase - Organizational Staffing	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.	

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295	IV.J Operations Phase - Organizational Staffing	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	IV.J Operations Phase - Organizational Staffing	Must provide a Privacy and Security Manager to maintain all physical and technical HIPAA privacy and security requirements.	
297	IV.J Operations Phase - Organizational Staffing	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	IV.J Operations Phase - Organizational Staffing	Must provide a helpdesk with an adequate number of staff and expertise to assist State users with application support.	
299	IV.J Operations Phase - Organizational Staffing	Must provide and maintain an updated Organizational Chart with corporate escalation paths on a monthly basis.	
300	IV.J Operations Phase - Organizational Staffing	Must acquire State approval for key staff and key staff replacements.	

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301	IV.J Operations Phase - Organizational Staffing	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	IV.J Operations Phase - Organizational Staffing	Must provide and maintain an updated project contact list.	
303	IV.K Operations Phase - Documentation	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	IV.K Operations Phase - Documentation	Must create and maintain project notes, artifacts, agendas and meeting minutes in a State approved format for the duration of the contract.	
305	IV.K Operations Phase - Documentation	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.	

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306	IV.K Operations Phase - Documentation	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	IV.K Operations Phase - Documentation	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	IV.K Operations Phase - Documentation	Must maintain database schema, data dictionaries, entity-relationship diagrams, process flows, network diagrams, and architecture and configuration diagrams.	
309	IV.K Operations Phase - Documentation	Must provide COTS product documentation.	
310	IV.K Operations Phase - Documentation	Must maintain documentation on all system modifications (e.g. version upgrades, new hardware, and parameters).	
311	IV.K Operations Phase - Documentation	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.	

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312	IV.K Operations Phase - Documentation	Must maintain documentation that includes full mock-ups of all screens or windows and provides narrative descriptions of the navigation features.	
313	IV.K Operations Phase - Documentation	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	IV.K Operations Phase - Documentation	Must maintain and distribute to all users (including the State) distinct systems design and management manuals, user manuals, and quick reference guides.	
315	IV.K Operations Phase - Documentation	Must ensure that the systems user manuals contain information about, and instructions for, using applicable systems functions and accessing applicable system data.	
316	IV.K Operations Phase - Documentation	Must ensure that all manuals and reference guides are available in printed form and on the Contractor's website.	
317	IV.K Operations Phase - Documentation	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	IV.K Operations Phase - Documentation	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.	

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319	IV.L Operations Phase - User Support	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	IV.L Operations Phase - User Support	Must provide a means to alert user support personnel when no one is available to take their call for priority issues.	
321	IV.L Operations Phase - User Support	Must follow State approved escalation procedures.	
322	IV.L Operations Phase - User Support	Must prioritize and resolve issues using mutually agreed upon severity definitions.	
323	IV.L Operations Phase - User Support	Must track, manage, and report on user support requests and statuses using the proposed tool.	
324	IV.L Operations Phase - User Support	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	IV.L Operations Phase - User Support	Must provide ongoing education and training of user support procedures and policies, particularly when a change in the process is needed or required.	
326	IV.L Operations Phase - User Support	Must make available self-paced training for authorized users.	
327	IV.L Operations Phase - User Support	Must provide training that includes an overview of the system and hands-on training on the system as requested by the State.	

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328	IV.L Operations Phase - User Support	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	IV.L Operations Phase - User Support	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	IV.L Operations Phase - User Support	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	IV.L Operations Phase - User Support	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.	
332	IV.L Operations Phase - User Support	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.	

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333	IV.L Operations Phase - User Support	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.	
334	IV.M Operations Phase - Privacy and Security	Must comply with all security and privacy laws, regulations, and policies, and related breach notification laws and directives.	
335	IV.M Operations Phase - Privacy and Security	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	IV.M Operations Phase - Privacy and Security	Must maintain a secured single sign-on per user and support DHHS single-sign-on (SSO) as and when applicable.	
337	IV.M Operations Phase - Privacy and Security	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	IV.M Operations Phase - Privacy and Security	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	IV.M Operations Phase - Privacy and Security	Must provide and maintain Privacy and Security Policies and Procedures.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
340	IV.M Operations Phase - Privacy and Security	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	IV.M Operations Phase - Privacy and Security	Must maintain a comprehensive audit trail of systemic and physical access to PHI.	
342	IV.M Operations Phase - Privacy and Security	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	IV.M Operations Phase - Privacy and Security	Must support multi-level role-based security and functionality.	
344	IV.M Operations Phase - Privacy and Security	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.	
345	IV.M Operations Phase - Privacy and Security	Must utilize an access management function that restricts access to varying levels of system functionality and information.	
346	IV.M Operations Phase - Privacy and Security	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).	

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347	IV.M Operations Phase - Privacy and Security	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	IV.M Operations Phase - Privacy and Security	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	IV.M Operations Phase - Privacy and Security	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	IV.M Operations Phase - Privacy and Security	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	IV.M Operations Phase - Privacy and Security	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.	

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352	IV.M Operations Phase - Privacy and Security	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	IV.M Operations Phase - Privacy and Security	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	IV.M Operations Phase - Privacy and Security	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.	

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355	IV.M Operations Phase - Privacy and Security	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	IV.M Operations Phase - Privacy and Security	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	IV.M Operations Phase - Privacy and Security	Must develop and implement a process for documenting, tracking, monitoring and reporting security issues to the State.	
358	IV.M Operations Phase - Privacy and Security	Must support security authorization and authentication of the user.	
359	IV.M Operations Phase - Privacy and Security	Must provide identity management features that assign a unique user ID and password to all users.	
360	IV.M Operations Phase - Privacy and Security	Must manage user profiles, including enforcing role-based security access to system data and functions.	
361	IV.M Operations Phase - Privacy and Security	Must allow users to recover/reset lost passwords from a portal interface following industry best-practices.	

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362	IV.M Operations Phase - Privacy and Security	Must support the ability to disable user accounts and ensure no disabled accounts can log in or access the system.	
363	IV.M Operations Phase - Privacy and Security	Must support the automatic disabling of user accounts if failed logins exceed a configurable threshold.	
364	IV.M Operations Phase - Privacy and Security	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	IV.M Operations Phase - Privacy and Security	Must support the saving of user profiles for archival purposes, including the ability to re-enable/reuse the profile.	
366	IV.M Operations Phase - Privacy and Security	Must generate automatic alerts to system administrators when a breach pattern or unauthorized use activity is detected.	
367	IV.M Operations Phase - Privacy and Security	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	IV.M Operations Phase - Privacy and Security	Must encrypt sensitive data in transit (including emails) to protect data confidentiality and integrity as appropriate based on the sensitivity of data.	
369	IV.M Operations Phase - Privacy and Security	Must support the latest version of Security Sockets Layer (SSL)/Transport Layer Security.	
370	IV.M Operations Phase - Privacy and Security	Must prevent the creation of duplicate accounts.	
371	IV.M Operations Phase - Privacy and Security	Must support the use HTTPS/SSL for connections between interfaces.	

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372	IV.M Operations Phase - Privacy and Security	Must inform the State of any potential, suspected, or confirmed breach immediately upon Contractor becoming aware.	
373	IV.M Operations Phase - Privacy and Security	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	IV.M Operations Phase - Privacy and Security	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	IV.M Operations Phase - Privacy and Security	Must de-identify data for testing.	
376	IV.M Operations Phase - Privacy and Security	Must de-identify data and maintain the value of the data without compromising the ability to run analytics and applications.	
377	IV.M Operations Phase - Privacy and Security	Must submit an annual independent security audit each operations 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	IV.M Operations Phase - Privacy and Security	Must provide an exact copy of the annual independent security audit report within thirty (30) days of completion. The State will use the findings and recommendations of each report as part of its monitoring process.	

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379	IV.M Operations Phase - Privacy and Security	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	IV.M Operations Phase - Privacy and Security	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	IV.M Operations Phase - Privacy and Security	Must support and integrate with the State's single-sign-on when and as applicable.	
382	IV.N.1 Operations Phase - Business Architecture Overview - General	Must provide industry expertise and thought leadership in data analytics for all areas of the State's business architecture.	
383	IV.N.1 Operations Phase - Business Architecture Overview - General	Must support the State's operational continual improvement efforts.	
384	IV.N.1 Operations Phase - Business Architecture Overview - General	Must support the State's future MITA assessment efforts by evaluating MITA maturity for business architecture processes within the scope of the contract.	
385	IV.N.1 Operations Phase - Business Architecture Overview - General	Must monitor and inform the State of potential Federal or industry changes which may impact business processes supported by the contract.	
386	IV.N.2 Operations Phase - Business Architecture Overview - Reporting and Analytics	Must provide proven, high quality reporting and analytic capabilities that leverage an industry-leading suite of reporting and business intelligence tools.	

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387	IV.N.2 Operations Phase - Business Architecture Overview - Reporting and Analytics	Must provide a reporting and analytic tool that is easily configurable by the average user.	
388	IV.N.2 Operations Phase - Business Architecture Overview - Reporting and Analytics	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	IV.N.2 Operations Phase - Business Architecture Overview - Reporting and Analytics	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	IV.N.2 Operations Phase - Business Architecture Overview - Reporting and Analytics	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	IV.N.2 Operations Phase - Business Architecture Overview - Reporting and Analytics	Must generate system activity, balancing and error reports as defined by the State and as requested by the State.	
392	IV.N.3 Operations Phase - Business Architecture Overview - Creating, managing, and performing statistical analysis, forecasting, and predictive analytics	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.	

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393	IV.N.3 Operations Phase - Business Architecture Overview - Creating, managing, and performing statistical analysis, forecasting, and predictive analytics	Must provide Contractor pre-defined and future predictive algorithms to the State on a frequency as determined by the State.	
394	IV.N.3 Operations Phase - Business Architecture Overview - Creating, managing, and performing statistical analysis, forecasting, and predictive analytics	Must identify, interrogate, monitor, assess and categorize various variable data in the database resulting in the provision of statistical analysis, forecasting, and predictive analytics.	
395	IV.N.3 Operations Phase - Business Architecture Overview - Creating, managing, and performing statistical analysis, forecasting, and predictive analytics	Must manage the results of statistical analysis, forecasting, and predictive analytics to meet State and Federal guidelines and laws.	
396	IV.N.3 Operations Phase - Business Architecture Overview - Creating, managing, and performing statistical analysis, forecasting, and predictive analytics	Must provide interpretation, guidance and training to State users regarding predictive algorithms and other results of statistical analysis, forecasting, and predictive analytics.	
397	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	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. Reference the Bidders Library for a list of required reports.	

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398	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	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	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	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	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	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.	
401	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must create all CMS Federal Quarterly Reports including but not limited to: • TMSIS • CMS-64 • CMS64-EC • CMS64-21E • CMS-21 • CMS-21E • CMS-21B • CMS-37 Note: Nebraska CHIP program is a combined Medicaid Expansion and Separate CHIP. Also, managed care is operated under a 1915(b) waiver.	

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402	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must create all CMS Federal Annual reports including but not limited to: • CMS-416 • CMS-372 reports for all active HCBS waivers.	
403	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must create all new required Federal Reports including file submissions as defined by CMS and the State.	
404	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must provide dashboard solutions and performance management scorecards that are updated on a schedule defined by the State.	
405	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must provide a secured provider portal displaying provider specific reports informing the provider of how their trends compare with their peers.	
406	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must provide the flexibility to vary time periods for reporting purposes and to produce reports on any frequency specified by the State.	
407	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must store and maintain pre-defined business reports for a period specified by the State.	
408	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must provide the ability to save ad-hoc and query results for a period specified by the State.	

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409	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	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	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must provide, implement, and maintain State approved pre-defined reports and supporting documentation that meet State and Federal specifications.	
411	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	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	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must document and provide verification of pre-defined reports' accuracy and validity on an annual basis.	
413	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must provide, implement, and maintain State approved algorithms and supporting documentation utilized within the DMA.	
414	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	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	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
416	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must provide a configurable rules-engine that identifies potential incidents of fraud, waste, abuse and erroneous payments.	
417	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must develop, update and maintain an algorithm library throughout the life of the contract. New algorithms will be created by SState 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	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must allow authorized users to create, modify, and run the rules and algorithms with limited or no technical support.	
419	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	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	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	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	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
422	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must include application training modules including self-paced computer-based modules, web-based training, application tutorials, and searchable help features for authorized users.	
423	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must implement, maintain and operate a configurable surveillance, utilization, and review subsystem according to Department business rules.	
424	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must implement, maintain, and operate a configurable program integrity solution which meets all requirements for CMS certification.	
425	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must profile provider groups, independent/solo providers, and individual providers within group practices.	
426	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must perform analysis of rendering, attending, admitting, supervising, ordering and prescribing provider's billing practices to generate reports of aberrant utilization patterns.	
427	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	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	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must perform all analysis using both claims and encounter records.	
429	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must link all services of any member based on all historical member ID numbers.	
430	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must profile all services provided to a member during a single episode of care.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
431	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must utilize a minimal level of manual effort in providing information that reveals potential defects in level of care and quality of service.	
432	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must suppress processing on an individual(s) within specified categories on a run-to-run basis.	
433	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	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.	
434	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must update all reference data based on a schedule agreed upon with State.(e.g. claims, provider, member)	
435	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must maintain a process to apply weighting and ranking of those exception report items identified by the State.	
436	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must exempt individual and mass adjustments or voids from SURS profiles and reports based on configurable rules.	
437	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must recommend members for referral to restricted access programs.	
438	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must perform “absence of” scenario analysis (examples include inpatient hospitalizations or prescriptions with no physician visit, durable medical equipment with no relevant diagnosis).	

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439	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	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	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must suggest additional projects and ideas for Program Integrity efforts to prevent or identify fraud, waste, abuse, or erroneous payments.	
441	IV.N.6.a Operations Phase - Business Architecture Overview - Case Management - General	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	IV.N.6.a Operations Phase - Business Architecture Overview - Case Management - General	Must provide a solution that is configurable and capable of supporting multiple business processes in addition to Program Integrity.	
443	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case Identification and Creation	Must initiate cases from a web-based referral form and must support manual initiation of cases.	
444	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case Identification and Creation	Must receive, record and funnel all initial cases into a queue for assessment, assignment and investigation.	
445	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case Identification and Creation	Must assign caseload "weights" to cases (e.g., characteristics of claim, claim edits, claim submission type, prior authorization, and client).	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
446	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case Identification and Creation	Must auto-populate fields and values on all case-related forms and web-based tools including exclusionary provider data.	
447	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case Identification and Creation	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	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case Identification and Creation	Must suggest and supply data and information from other sources to pre-populate values (address, licensure).	
449	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case Identification and Creation	Must identify and link related case data and activities.	
450	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case Identification and Creation	Must include large-capacity free-form text note functionality (e.g. keyword search, sort functions) for cases.	
451	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case Identification and Creation	Must customize case data to the State's business processes.	
452	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case Identification and Creation	Must provide notification to the assigned investigator when a new case is created.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
453	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case Identification and Creation	Must provide the user the choice to either automatically assign cases or assign cases on a case-by-case basis.	
454	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case Identification and Creation	Must utilize multi-level drop-down menus for consistent categorization and reporting.	
455	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must track and manage all case management data including adverse actions, outcomes, expenditures, payments, receivables, recoupments and adjustments in accordance with State guidelines.	
456	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must track and report AR/AP (e.g., check numbers, payer, payee, date, amount, and memo).	
457	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must capture, track, display, and maintain all provider data, including agreement and termination information and historical communications.	
458	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must maintain, track, log, archive, display, generate and auto generate, as defined by the State, all provider communications.	
459	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must provide search capability of all current and historic case management data.	
460	IV.N.6.c Operations Phase - Business Architecture Overview - Case	Must provide letter templates including the use of digital signatures for all case management letters.	

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	Management - Manage Case Information		
461	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	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	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must maintain links between cases and historical scanned/uploaded documents.	
463	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	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	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must allow users to sort and search for keywords or names throughout the case management tool.	
465	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
466	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	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.	
467	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	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	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must allow users to add parties to a case file either manually or by copying from other case files.	
469	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must conduct a final review of every investigation and ensure a State accepted outcome has been executed before the case is closed.	
470	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	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	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must provide workflow functionality to enable automated distribution of cases, alerts and notifications to designated work queues and processing.	

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472	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must provide functionality to establish and modify workload distribution to manage workloads on an as needed basis.	
473	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	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	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	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	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	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	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must provide user manuals with updates as appropriate.	
477	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must provide on-line help for all features, functions and data element fields.	
478	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	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.	

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479	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must update multiple cases in a project by selecting certain cases from the system, selecting a particular activity, and updating all cases simultaneously.	
480	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must provide for on-line review and approval by management of key steps within the case investigation process.	
481	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must provide a structured workflow process that does not allow steps to be skipped without proper authorization.	
482	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must manage case information in a logical, chronological format.	
483	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must maintain functionality to create and export comprehensive case records to multiple external media based on configurable business rules.	
484	IV.N.6.d Operations Phase - Business Architecture Overview - Case Management - Audit Cases	Must provide viewable, printable, exportable, consolidated audit history of cases.	
485	IV.N.6.d Operations Phase - Business Architecture Overview - Case Management - Audit Cases	Must allow users to produce work management reports which include performance measures for individuals and business processes.	
486	IV.N.6.d Operations Phase - Business Architecture Overview - Case Management - Audit Cases	Must provide an audit trail of historical activity which includes modification activities.	

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487	IV.N.6.d Operations Phase - Business Architecture Overview - Case Management - Audit Cases	Must track time, expenses and recoveries related to investigation activities.	
488	IV.N.6.d Operations Phase - Business Architecture Overview - Case Management - Audit Cases	Must allow managers to track investigator caseloads, missed deadlines and aging cases.	
489	IV.N.6.d Operations Phase - Business Architecture Overview - Case Management - Audit Cases	Must maintain a complete history and audit trail of all cases.	
490	IV.N.6.d Operations Phase - Business Architecture Overview - Case Management - Audit Cases	Must provide the functionality to analyze caseloads, clearance rates, dispositions and other management data.	
491	IV.N.6.d Operations Phase - Business Architecture Overview - Case Management - Audit Cases	Must provide built-in time tracking and complete history/audit trails.	
492	IV.N.6.d Operations Phase - Business Architecture Overview - Case Management - Audit Cases	Must retain all data on-line for a period of time defined by the State.	
493	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	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	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must validate that encounter and FFS claims are in compliance with HIPAA and NCPDP standards and operating rules as applicable by claim type.	
495	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must perform integrity edits as directed by the State. Integrity edits are those that would be in addition to HIPAA compliance edits.	

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496	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must maintain all applicable reference files for encounter processing purposes.	
497	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must maintain a method to distinguish between encounter and FFS claim records.	
498	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must reject claims that fail compliance edits.	
499	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must flag, capture and report on encounters and claims that fail integrity edits.	
500	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must support a workflow and method to work with the MCO for submission of a corrected encounter claim.	
501	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must provide a detailed integrity edit report describing the reason for the integrity flag and work with MCO to resolve and resubmit.	
502	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must provide management reconciliation reports for rejected encounters and claims resolution.	
503	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must provide online work queues for flagged claims resolution.	
504	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must capture and report on other types of payment records including MCO supplemental payments such as maternity Kick Payments.	
505	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must report on content of the database via dashboards, static and ad-hoc reports.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
506	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must report on the activity of encounter and claim receipts.	
507	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must receive and process other encounter data (e.g. authorization, quality of care, performance, etc.).	
508	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	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	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	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	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
511	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	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	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	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	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	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), Patient Protection and Affordable Care Act (PPACA) privacy and security requirements.	
514	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	Must demonstrate high levels of capability/maturity with respect to service orientation, interoperability, and data exchange.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
515	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	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 specifications set by the State.	
516	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	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	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	Must support branding using official State content (e.g. logos, images).	
518	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	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	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	Must provide contextual "help" functionality throughout the system that users can link to for clarification or additional information.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
520	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	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	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	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	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	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.	
523	IV.O.2 Operations Phase - Business Information and Technical Architecture - Data Management	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	IV.O.2 Operations Phase - Business Information and Technical Architecture - Data Management	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.	

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525	IV.O.2 Operations Phase - Business Information and Technical Architecture - Data Management	Must verify the accuracy and timeliness of reported data.	
526	IV.O.2 Operations Phase - Business Information and Technical Architecture - Data Management	Must screen the data for completeness, logicalness, and consistency.	
527	IV.O.2 Operations Phase - Business Information and Technical Architecture - Data Management	Must collect information in standardized formats to the extent feasible and appropriate.	
528	IV.O.2 Operations Phase - Business Information and Technical Architecture - Data Management	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.	
529	IV.O.3 Operations Phase - Business Information and Technical Architecture - Data Governance	Must provide, implement, and maintain a State approved Data Governance Plan that includes approach, strategy, methodology, process, tools, resourcing, quality and contingency aspects.	
530	IV.O.3 Operations Phase - Business Information and Technical Architecture - Data Governance	Must participate and support the State in DMA governance, stewardship, and data management processes according to the Data Governance Plan.	
531	IV.O.4 Operations Phase - Business Information and Technical Architecture - Master Data Management	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.	

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532	IV.O.4 Operations Phase - Business Information and Technical Architecture - Master Data Management	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	IV.O.4 Operations Phase - Business Information and Technical Architecture - Master Data Management	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	IV.O.4 Operations Phase - Business Information and Technical Architecture - Master Data Management	Must enable access and usability of single entity views providing essential identification and reference information across trading partners.	
535	IV.O.4 Operations Phase - Business Information and Technical Architecture - Master Data Management	Must establish State approved automated processes and workflow for notifying the appropriate State systems of MDM impact transactions (e.g. member address changes).	
536	IV.O.5 Operations Phase - Business Information and Technical Architecture - Data Models	Must provide, implement, and maintain a State approved Data Modeling Plan that includes strategy, methodology, process, tools, resourcing, quality and contingency aspects.	
537	IV.O.5 Operations Phase - Business Information and Technical Architecture - Data Models	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.	

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538	IV.O.6 Operations Phase - Business Information and Technical Architecture - Data Integration	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	IV.O.6 Operations Phase - Business Information and Technical Architecture - Data Integration	Must provide, implement, and maintain all State approved data integration processes (e.g., ETL, ELT).	
540	IV.O.6 Operations Phase - Business Information and Technical Architecture - Data Integration	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	IV.O.6 Operations Phase - Business Information and Technical Architecture - Data Integration	Must process transactions to merge and separate records as defined by the State.	
542	IV.O.7 Operations Phase - Business Information and Technical Architecture - Data Sharing	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	IV.O.7 Operations Phase - Business Information and Technical Architecture - Data Sharing	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	IV.O.7 Operations Phase - Business Information and Technical Architecture - Data Sharing	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
545	IV.O.7 Operations Phase - Business Information and Technical Architecture - Data Sharing	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	IV.O.7 Operations Phase - Business Information and Technical Architecture - Data Sharing	Must support the State in the adoption of national mechanisms used for data sharing (i.e., data hubs, repositories, and registries).	
547	IV.O.7 Operations Phase - Business Information and Technical Architecture - Data Sharing	Must communicate with the State over a secure virtual private network (VPN) as needed.	
548	IV.O.7 Operations Phase - Business Information and Technical Architecture - Data Sharing	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	IV.O.7 Operations Phase - Business Information and Technical Architecture - Data Sharing	Must provide a flexible framework that allows the import and export of data using industry standard file transmission protocols.	
550	IV.O.7 Operations Phase - Business Information and Technical Architecture - Data Sharing	Must support open standards and industry standard protocols, such as Secure File Transfer (SFTP), SOAP over HTTPS and JMS/MO messages.	
551	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
552	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	Must develop, implement, and maintain State approved Interface Control Documents (ICDs) that provide specifications and SLA's for each data exchange and interface.	
553	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	Must develop, implement, and maintain a State approved catalogue of Interface Control Documents (ICDs).	
554	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	Must transmit all appropriate data through the State data exchanges and interfaces as specified in the Interface Control Document.	
555	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	Must provide the capability to interface with existing and future systems via batch file transfers and transactionally via standard service.	
556	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	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	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	Must send and receive files and transactions, in formats and methods specified by the State.	
558	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	Must receive and investigate any discrepancies on data exchanges.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
559	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	Must provide the ability to send and receive batch interfaces with the current MMIS solution.	
560	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	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	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	Must provide the ability to import data into the system in multiple formats (e.g. XML, csv, fixed length, ASCII, tab-delimited),	
562	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	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.	
563	IV.O.9 Operations Phase - Business Information and Technical Architecture - Data Transformation	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	IV.O.9 Operations Phase - Business Information and Technical Architecture - Data Transformation	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
565	IV.O.9 Operations Phase - Business Information and Technical Architecture - Data Transformation	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	IV.O.9 Operations Phase - Business Information and Technical Architecture - Data Transformation	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.	
567	IV.O.10.a Operations Phase - Business Information and Technical Architecture - Enterprise Data Warehouse (EDW) - General	Must provide, implement, and maintain the State approved DMA Enterprise Data Warehouse (EDW) including all related conceptual and logical mechanisms.	
568	IV.O.10.a Operations Phase - Business Information and Technical Architecture - Enterprise Data Warehouse (EDW) - General	Must operate a State approved continuous improvement process of the EDW.	
569	IV.O.10.a Operations Phase - Business Information and Technical Architecture - Enterprise Data Warehouse (EDW) - General	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
570	IV.O.10.b Operations Phase - Business Information and Technical Architecture - Enterprise Data Warehouse (EDW) - EDW Architecture	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	IV.O.10.b Operations Phase - Business Information and Technical Architecture - Enterprise Data Warehouse (EDW) - EDW Architecture	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.	
572	IV.O.10.c Operations Phase - Business Information and Technical Architecture - Enterprise Data Warehouse (EDW) - EDW Tools and Methods	Must provide, implement, and maintain EDW tools and methods that support design, development, deployment, and maintenance of the EDW.	
573	IV.O.10.c Operations Phase - Business Information and Technical Architecture - Enterprise Data Warehouse (EDW) - EDW Tools and Methods	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	IV.O.10.c Operations Phase - Business Information and Technical Architecture - Enterprise Data Warehouse (EDW) - EDW Tools and Methods	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
575	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	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	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	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	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	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.	
578	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	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	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	Must provide, implement, and maintain reporting and analytic tools and methods that provide users the ability to merge geospatial datasets.	
580	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	Must provide, implement, and maintain reporting and analytic tools and methods that provide users the ability to load and unload data efficiently.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
581	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	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	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	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	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	Must provide, implement, and maintain reporting and analytic tools and methods that support statistical analysis (e.g. mathematical and statistical calculations).	
584	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	Must provide, implement, and maintain reporting and analytic tools and methods that support random sampling, using standard statistical methodologies for monitoring functions.	
585	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	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	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
587	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	Must provide, implement, and maintain reporting and analytic tools and methods to create scorecards and dashboards.	
588	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	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	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	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.	
590	IV.O.12 Operations Phase - Business Information and Technical Architecture - Rules Engine & Rules Management	Must enable policies, rules, operational logic, and related decisions to be defined, tested, executed, and maintained separately from application code.	
591	IV.O.12 Operations Phase - Business Information and Technical Architecture - Rules Engine & Rules Management	Must perform rules addition, deletion, and modification per State direction and approval without modifying the application code.	
592	IV.O.12 Operations Phase - Business Information and Technical Architecture - Rules Engine & Rules Management	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
593	IV.O.12 Operations Phase - Business Information and Technical Architecture - Rules Engine & Rules Management	Must provide the ability to clone rules, modify them and then implement them as new separate rules.	
594	IV.O.12 Operations Phase - Business Information and Technical Architecture - Rules Engine & Rules Management	Must test, validate and receive State approval for rule changes prior to implementation.	
595	IV.O.12 Operations Phase - Business Information and Technical Architecture - Rules Engine & Rules Management	Must provide the capability for users to receive push notifications/alerts based on user-configurable parameters (rules and/or rules groups).	
596	IV.O.12 Operations Phase - Business Information and Technical Architecture - Rules Engine & Rules Management	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	IV.O.12 Operations Phase - Business Information and Technical Architecture - Rules Engine & Rules Management	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	IV.O.12 Operations Phase - Business Information and Technical Architecture - Rules Engine & Rules Management	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
599	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	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	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	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.	
601	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	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	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	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).	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
603	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must support the State during all external audits, reviews and collaborations such as Medi-Medi, PERM, TMSIS, 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	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must work with the State to provide external auditors access to data and participate in the audits as required by the State.	
605	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must document and store DMA data and maintain electronic audit trails throughout the data lineage.	
606	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	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	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	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	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
609	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must provide the date and identification “stamp” displayed on any online inquiry.	
610	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must provide the ability to trace data from the final place of recording back to its source data file or document.	
611	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must support audit listings, transaction reports, update reports, transaction logs, or error logs.	
612	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must facilitate auditing of individual records as well as batch audits.	
613	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must maintain audit information online for a minimum of two years and be retrievable within a maximum of 48 hours.	
614	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	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	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must provide inherent functionality that prevents the alteration of finalized audit records.	
616	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must maintain a comprehensive audit trail of systematic and physical access to PHI, PII and FTI.	
617	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must track and retain a log of all successful and unsuccessful logins.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
618	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	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	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	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	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	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	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must retain historical data submission for a period not less than six years, following generally accepted retention guidelines.	
622	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
623	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must provide and maintain all DMA environments (e.g., development, training, production) including licenses applicable for the DMA solution and designated DMA users.	
624	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	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	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	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	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must meet all American with Disabilities Act (ADA) and Limited English Proficiency (LEP) requirements.	
627	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
628	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must provide availability to systems applications and telecommunications during hours specified by the State.	
629	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must detect, track, monitor, and report on processing errors as a result of daily, weekly, monthly processing.	
630	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	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	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must ensure that bandwidth is sufficient to meet the performance requirements of this RFP.	
632	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
633	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	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	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	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	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	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	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must respond in writing within a maximum of five (5) calendar days of notification from the State of a system issue.	
637	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must resolve the system issue or provide a requirements analysis and specifications document within a maximum of fifteen (15) calendar days.	

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638	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must correct system issues by the effective date to be approved by the State.	
639	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	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	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	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	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
642	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	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	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	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.	
644	V.A Turnover – Phase Overview	Must support to the best of the Contractor's abilities the orderly turnover and transition of all operations to the State's designated successor.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
645	V.B Turnover – Turnover Planning	Must submit a Turnover Pla, 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	V.B Turnover – Turnover Planning	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	V.B Turnover – Turnover Planning	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.	
648	V.B Turnover – Turnover Planning	Must participate in planning sessions with the State and successor Contractor during the turnover phase.	
649	V.C Turnover – Project Management and Systems Development Lifecycle	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.	

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650	V.C Turnover – Project Management and Systems Development Lifecycle	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	V.C Turnover – Project Management and Systems Development Lifecycle	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	V.C Turnover – Project Management and Systems Development Lifecycle	Must attend and collaborate joint turnover management meetings with the State and or successor Contractor.	
653	V.C Turnover – Project Management and Systems Development Lifecycle	Must work with the State and or successor to integrate turnover work plans with dependencies and dates.	
654	V.C Turnover – Project Management and Systems Development Lifecycle	Must include in the weekly status reporting a list of outstanding contractual items along with a plan for completing these items.	
655	V.C Turnover – Project Management and Systems Development Lifecycle	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.	
656	V.D.1 Turnover – Performance and Status Reporting	Must submit all turnover items on the turnover inventory list in accordance with the turnover work plan.	

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657	V.D.1 Turnover – Performance and Status Reporting	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	V.D.1 Turnover – Performance and Status Reporting	Must deduct any State required deductions from the Contractor's monthly operational invoices.	
659	V.D.1 Turnover – Performance and Status Reporting	Must develop and implement corrective action plans as requested by the State.	
660	V.D.2 Turnover – Performance and Status Reporting	Must prepare and submit a weekly status report specific to turnover activities.	
661	V.D.2 Turnover – Performance and Status Reporting	Must prepare and submit a monthly status report specific to turnover activities.	
662	V.D.2 Turnover – Performance and Status Reporting	Must prepare and submit a quarterly status report specific to turnover activities.	
663	V.D.2 Turnover – Performance and Status Reporting	Must produce transaction data, reports, and performance information that would contribute to program evaluation, continuous improvement in business operations, and transparency and accountability.	
664	V.E Turnover – Close-Out Deliverables	Must provide current versions of all documentation deliverables included in the Contractor's proposed deliverables 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.	

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665	V.E Turnover – Close-Out Deliverables	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	V.E Turnover – Close-Out Deliverables	Must allow sufficient time to review and approve each deliverable by scaling to the size and complexity of the deliverable.	
667	V.E Turnover – Close-Out Deliverables	Must conduct deliverable review sessions prior to submission to the State or designated agent.	
668	V.E Turnover – Close-Out Deliverables	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	V.E Turnover – Close-Out Deliverables	Must provide documentation of all necessary resource requirements including staff, hardware and software requirements for successful turnover.	
670	V.F Turnover – Quality Assurance and Monitoring	Must update the Operations Quality Assurance Plan for turnover procedures and deliver to the State for approval.	
671	V.F Turnover – Quality Assurance and Monitoring	Must validate that the Quality Assurance Plan or series of plans for turnover activities has been executed accurately.	
672	V.F Turnover – Quality Assurance and Monitoring	Must manage, perform and monitor the remaining Quality Assurance steps of the plan.	
673	V.F Turnover – Quality Assurance and Monitoring	Must maintain the process of recording and addressing corrective and preventive actions through the turnover phase.	
674	V.F Turnover – Quality Assurance and Monitoring	Must identify and track defects and service level deficiencies.	

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675	V.F Turnover – Quality Assurance and Monitoring	Must use the established rating system for defects.	
676	V.F Turnover – Quality Assurance and Monitoring	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	V.F Turnover – Quality Assurance and Monitoring	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	V.F Turnover – Quality Assurance and Monitoring	Must identify and document any issues or deficiencies that remain unresolved at the end of the turnover phase.	
679	V.G Turnover – Change Management	Must request and receive State approval prior to implementing a change during the turnover phase of the contract.	
680	V.G Turnover – Change Management	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	V.G Turnover – Change Management	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.	

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682	V.G Turnover – Change Management	Must maintain a formal process to track and manage change requests within the turnover phase of the contract.	
683	V.G Turnover – Change Management	Must provide a projection of change requests to be implemented in the upcoming months prior to turnover.	
684	V.G Turnover – Change Management	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	V.G Turnover – Change Management	Must perform a MITA assessment of all change requests and coordinate with the State's MITA Coordinator.	
686	V.G Turnover – Change Management	Must submit all change requests and analysis results to the State Change Review Board for disposition and prioritization.	
687	V.G Turnover – Change Management	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	V.G Turnover – Change Management	Must design, develop, test and implement approved changes within the approved IMS timeframes.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
689	V.G Turnover – Change Management	Must implement changes in a manner with the least possible impact to operations and turnover timeframes while maintaining a high quality delivery.	
690	V.G Turnover – Change Management	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	V.G Turnover – Change Management	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	V.G Turnover – Change Management	Must include in the weekly status report an update on the status of each change request in work.	
693	V.G Turnover – Change Management	Must submit monthly detailed accounting to the State's satisfaction, of the work performed by each individual billing time to change requests.	
694	V.H Turnover – Data and Record Migration and Turnover	Must include details regarding data and record migration within the turnover plan.	
695	V.H Turnover – Data and Record Migration and Turnover	Must conduct data and related content refreshes according to the approved plan.	
696	V.H Turnover – Data and Record Migration and Turnover	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.	

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697	V.H Turnover – Data and Record Migration and Turnover	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	V.H Turnover – Data and Record Migration and Turnover	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.	
699	V.I Turnover – Organizational Staffing	Must submit and maintain an Organizational Chart for the Turnover Phase.	
700	V.I Turnover – Organizational Staffing	Must submit resumes of Key personnel to the State for approval.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
701	V.I Turnover – Organizational Staffing	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
702	V.I Turnover – Organizational Staffing	With respect to all persisting 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 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	V.I Turnover – Organizational Staffing	Must provide key personnel in accordance with V.I.1.	
704	V.I Turnover – Organizational Staffing	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
705	V.I Turnover – Organizational Staffing	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 persisting 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 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 thirtieth (30th) business day after the vacancy occurs.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
706	V.I Turnover – Organizational Staffing	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	V.I Turnover – Organizational Staffing	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	V.I Turnover – Organizational Staffing	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.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
709	V.I Turnover – Organizational Staffing	Must submit a Staffing Contingency Plan for operations during the Turnover Phase.	
710	V.I Turnover – Organizational Staffing	Must acquire State approval for key staff and key staff replacements.	
711	V.I Turnover – Organizational Staffing	Must provide unrestricted access to appropriate Contractor personnel for discussion of problems or concerns.	
712	V.I Turnover – Organizational Staffing	Must cooperate with the State and/or successor Contractor on transition of staff supporting the contract to either the State or the successor.	
713	V.I Turnover – Organizational Staffing	Must not in any way interfere with the transition of employees and/or subcontractors to the State or a successor.	
714	V.J Turnover – Cooperation with Successor	Must provide open access of knowledgeable teams to the State and / or successor Contractor to answer questions.	
715	V.J Turnover – Cooperation with Successor	Must coordinate and facilitate timely transition to the State and / or successor Contractor.	
716	V.J Turnover – Cooperation with Successor	Must not interfere in any way with the transition to the State and / or successor Contractor.	
717	V.J Turnover – Cooperation with Successor	Must provide direction in identifying the necessary processes and procedures for maintenance and support activities.	
718	V.J Turnover – Cooperation with Successor	Must provide business operations support as the successor begins assuming the business operations functions.	
719	V.J Turnover – Cooperation with Successor	Must demonstrate how the system tools are used to operate, control and maintain the system.	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
720	V.J Turnover – Cooperation with Successor	Must collaborate with the successor to develop a customized methodology to work with the new technology and infrastructure implemented.	
721	V.J Turnover – Cooperation with Successor	Must review the system's stability and performance, system recovery, operations and threshold compliance with the successor.	
722	V.J Turnover – Cooperation with Successor	Must provide modifications and corrective actions taken to add to or resolve any deficiencies or omissions discovered in the system.	
723	V.J Turnover – Cooperation with Successor	Must provide technical support (e.g. system-related problems, routine maintenance and error resolution, database administration functions, software distribution), as needed during transition.	
724	V.J Turnover – Cooperation with Successor	Must provide knowledge transfer/onsite training to the successor.	
725	V.J Turnover – Cooperation with Successor	Must plan, facilitate and document turnover discussions among stakeholders.	
726	V.K Turnover – Contract Closeout	Must complete all activities to the State's satisfaction within the State approved turnover plan, turnover inventory, and work plan.	
727	V.K Turnover – Contract Closeout	Must transfer all State owned property to the State or State's designee in an orderly manner.	
728	V.K Turnover – Contract Closeout	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	

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ID	RFP Appendix A - Statement of Work Section	Requirement	Response
		service is not necessary for transfer.	
729	V.K Turnover – Contract Closeout	Must provide all finalized and production ready documentation organized and cataloged (e.g. User Manual, Business Operating Procedures, Technical Operating Procedures, Training Guide).	
730	V.K Turnover – Contract Closeout	Must provide all system data to the State or successor (e.g. files, records, transactions).	
731	V.K Turnover – Contract Closeout	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	V.K Turnover – Contract Closeout	Must implement all maintenance, and started changes in accordance with the agreed upon system release schedule defined in the Operations Change Management Phase.	
733	V.K Turnover – Contract Closeout	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	V.K Turnover – Contract Closeout	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	V.K Turnover – Contract Closeout	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.	