State of Nebraska, Department of Health and Human Services

Division of Medicaid & Long Term Care IV&V Services

RFP NUMBER: 109035 O3

TECHNICAL PROPOSAL

Original

November 19, 2021 – 2:00 PM CT

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Department of Health and Human Services
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November 19, 2021

Andy Budell, Holly Glasgow
Department of Health and Human Services
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Dear Mr. Budell,

NTT DATA State Health Consulting, LLC (NTT DATA) is pleased to submit this proposal to the State of Nebraska (State) Department of Health and Human Services (DHHS). We look forward to serving as the Independent Verification and Validation (IV&V) services provider to support the Division of Medicaid and Long Term Care (MLTC) in implementing enterprise improvements. In this proposal, we include relevant information that demonstrates our capacity and capability to meet the solicitation requirements. We also confirm receipt of Addendum One Questions and Answers and Addendum Two Revised RFP Sections, on November 1 and have adjusted our response accordingly.

DHHS began its Medicaid Enterprise System (MES) improvement journey several years ago and has made notable progress, including the upcoming certification of a new Data Management and Analytics (DMA) module. Projects such as this come with numerous complexities. Viewing the projects from a portfolio perspective assures a more holistic solution for the State and its residents. NTT DATA gained this experience while working as the trusted advisor on MES projects in several states and we are excited to bring this industry-leading expertise to DHHS.

For Nebraska residents relying on these important services, it is critical that, during this phased implementation, the programs and systems function properly. Nebraska needs an experienced MES IV&V vendor that can bring value to all project aspects from day one. Because of our expertise and long history helping dozens of states with their MES implementations, we understand better than most vendors the various interdependencies of DHHS' services and systems involved in the modernization. This experience enables correct implementation and eliminates interruption to these important services. While DHHS is focused on the MES improvements, it is smart to consider the impact the declining Fee-for-Service (FFS) population will have on the services and how process re-engineering and automated solutions can be utilized to improve services for the future.

Through this RFP, DHHS has demonstrated its understanding of the important role a trusted IV&V vendor will have in the successful implementation and certification of the five upcoming modules in this project. NTT DATA is honored to be considered as the vendor for the IV&V services. We bring DHHS our following strengths:

- **Leading Vendor Providing MES IV&V and Project Management Solutions.** NTT DATA has provided numerous IV&V services for various MES planning, procurement, and implementation projects—including the five modules within this scope. We successfully delivered on more than 200 IV&V projects and worked on MES modernization projects in almost all 50 states, plus the District of Columbia (DC) and Puerto Rico. We also supported certification efforts in 37 states, including 22 as the IV&V vendor.
- **Resources to Meet the State's Evolving Project Needs.** With more than 20,000 consultants in the NTT DATA consulting group, we are focused on supporting the State's agencies and

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customers' needs. We can scale our resources to meet varying project needs over the course of each module implementation. Our team is familiar with the DHHS' project and we will bring value to Nebraska on day one as the IV&V vendor.

- **Highest Quality MES IV&V Methodologies.** Our IV&V Advantage methodology was developed based on our experience providing IV&V services for more than 30 years. Unlike other vendors, NTT DATA provides the highest quality IV&V services in the industry and our clients attest to this year after year. We specifically designed our IV&V Advantage solution for state government IV&V projects. IV&V Advantage includes adaptable tools and templates that enable our team to mobilize quickly and can be customized as needed for each of the modules in DHHS' Medicaid systems.

Thank you for considering our response and we look forward to the opportunity to work with DHHS—to contribute to the success of your MLTC projects—as the IV&V vendor. Please do not hesitate to contact Deirdre Mccormick, Business Development Consultant at (207) 649-0885 or at Deirdre.McCormick@nttdata.com if you have any questions about our proposal or the services we offer.

Sincerely,

Timothy Conway
EVP and Group President, Public Sector

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The Matrix of Proposal Requirements in Figure 1 is listed in the order presented on page 3 of 109305_O3_Addendum_TWO_REVISED_RFP_Sections. For each RFP requirement, we indicate the proposal section where our response is located.

Figure 1. Matrix of Proposal Requirements.

RFP Requirement	Proposal Location
1. Completed Sections II-IV	Appendices C-E
Section II	RFP Section II. Terms and Conditions
Section III	RFP Section III. Contractor Duties
Section IV	RFP Section IV. Payment
2. Attachment A - Business Requirements Traceability Matrix	Section 2.6 – Attachment A - Business Requirements Traceability Matrix
Attachments to Attachment A	
IV&V Project Schedule Example	Appendix G – Schedule, Templates, Plans, Reports
IV&V Product Review Worksheet Example	Appendix G – Schedule, Templates, Plans, Reports
IV&V Weekly Status Report Template	Appendix G – Schedule, Templates, Plans, Reports
IV&V Weekly Status Report Example	Appendix G – Schedule, Templates, Plans, Reports
Monthly IV&V Report Template	Appendix G – Schedule, Templates, Plans, Reports
Monthly IV&V Report Example	Appendix G – Schedule, Templates, Plans, Reports
Operation and System Readiness Plan Example 1	Separate submission file
Operation and System Readiness Plan Example 2	Separate submission file
Operation and System Readiness Review Reports Example	Separate submission file
3. Section VI - Corporate Overview	Section 1 – Corporate Overview
Attachment to Corporate Overview	
Financial Statements	Separate submission file
4. Original Request for Proposal for Contractual Services Form Signed Using an IndelibleMethod	Appendix A – Original Request For Proposal For Contractual Services
5. Form A Contractor Proposal Point of Contact Request for Proposal Number 109035 O3	Appendix B – Form A Contractor Proposal Point of Contact Request for Proposal Number 109035 O3
6. State Cost Proposal Template	Separate submission file
7. Completed HIPAA Agreement	Appendix F – HIPAA Agreement
Additional RFP Requirements	
8. Section V – C. Organizational Staffing	Section 2.7 – Organizational Staffing
9. Section V – D. Logistics	Section 2.8 – Logistics
10. Section V – E. Privacy and Security	Section 2.9 – Privacy and Security
Attachment to Privacy and Security	
IV&V Privacy and Security Plan Example	Appendix G – Schedule, Templates, Plans, Reports

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1 Corporate Overview (RFP I P.1.a-e, VI A.1)

The NTT DATA Advantage

NTT DATA offers Nebraska industry leading Medicaid Enterprise System (MES) Independent Verification and Validation (IV&V) experience and expertise. We are committed to supporting State Medicaid Agencies and are supported by a Global IT company, bringing the best MES IV&V consultants and MES IV&V methodology to deliver the highest quality project outcomes for DHHS. NTT DATA is Nebraska's ***best value*** for a cross-module IV&V solution vendor, and will be ready on day one.

For the MLTC IV&V engagement, DHHS will be supported by NTT DATA State Health Consulting, LLC, a wholly owned subsidiary of NTT DATA, Inc. Our state healthcare-focused business unit consists of more than 300 employees, currently working with more than 20 state clients. This team brings a wealth of Medicaid and IV&V expertise in complex state information technology (IT) systems to the MLTC project. We have unique knowledge across the modules of the MLTC project and our MES-focused IV&V team will bring valuable multi-state, cross-module expertise to DHHS.

Our parent company, NTT DATA, Inc., provides a wide range of IT services that help our clients create, operate, maintain, and evolve mission-critical IT systems and business processes. With 50,000 IT professionals in the United States, we offer an array of services to help large public and private sector organizations strengthen their operations in measurable, sustainable ways. We do so through an array of services, including consulting, digital, application, and infrastructure service.

Ability, Capacity, and Skill to Deliver on these Projects

As a national leader in providing government operations consulting with a focus on health and human services (HHS) IT modernization, NTT DATA is equipped with the ability, capacity and skills to deliver on this project. We have a long-standing reputation for successfully delivering program modernization efforts on-schedule and on-budget for our state government clients.

NTT DATA Strengths

- NTT DATA has been providing strategy, planning, IV&V, and other services to state governments for over 30 years.
- With more than 300 consultants specifically focused on Medicaid and State healthcare IT in the Health Consulting group, we are focused on supporting MLTC's project needs.

DHHS is seeking a vendor with proven IV&V methodology and established project management expertise. NTT DATA is that vendor. Our industry leading IV&V consulting services, backed by our IV&V Advantage framework, strengthens our ability to deliver the services that ultimately lead to overall success of the State's projects.

Our approach to IV&V is based on our Enterprise Advantage methodology, NTT DATA's proven framework and methodology, aligned to the Project Management Institute (PMI) Project Management Body of Knowledge (PMBOK) and Information Technology Infrastructure Library (ITIL) standards. Enterprise Advantage is developed specifically to deliver services to our Medicaid clients and is comprised of the following eight key areas:

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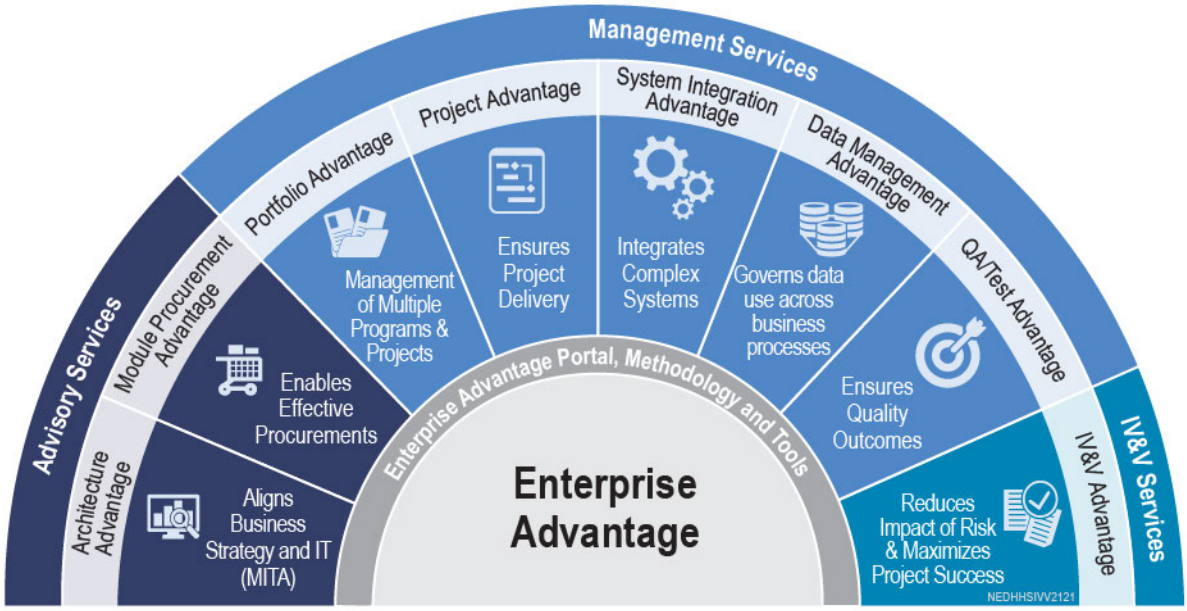

Figure 2. Enterprise Advantage Eight Core Services Areas

For the State of Nebraska, NTT DATA will apply IV&V Advantage as our methodology for delivering this scope of work. The framework provides a modular, highly adaptable, current, and complete approach to support individual projects, as well as a portfolio of projects ranging in size and complexity, such as Nebraska's. IV&V Advantage enables our IV&V activities to proceed on a planned, orderly basis with constant monitoring and adjustments as needed to meet evolving project priorities.

In the Section 2: Technical Approach and in Attachment A of our response, DHHS will find more detailed descriptions of how IV&V will be applied to the MLTC project.

Character, Integrity, Reputation, Sound Judgment, Experience, and Efficiency

As the trusted IV&V vendor for numerous state projects, NTT DATA clearly understands our role as the neutral, third-party partner providing oversight and recommendations to our client. We take this responsibility seriously and state agencies have turned to us for IV&V services for more than three decades. In fact, NTT DATA has never had a contract terminated for cause and many of our clients have opted to extend our services, partnering with us in many cases for more than 10 years. Our client longevity is evidence of the character and integrity that our IV&V consultants bring to our state projects and will bring to Nebraska.

Attestations from NTT DATA's Clients on our Quality Work

"NTT DATA is dedicated to providing superior service, is flexible to changing client business needs, and responsive to inquiries and requests providing guidance to aid success of projects." *—2020 Survey Respondent, State Agency*

"I have worked with NTT DATA on many projects, and they have always delivered flawlessly." *—2020 Survey Respondent, State Agency*

As a foundation for our company and for the performance of our team, NTT DATA incorporates a series of core values that drive the way we serve our clients and fellow team members. These core values of Client First, Foresight, and Teamwork are critical to our business and are also the building blocks for our consistent excellence and growth.

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Figure 3. NTT DATA Core Values

Ability to Perform the Contract within the Specified Time Frame

NTT DATA's project team carefully reviewed the project details and timeframe outlined in the RFP and the answers to questions provided by the State. We collaborated with our IV&V and Certification experts to weigh in on timing and effort and meticulously aligned the level of effort and correct resources to the State's modules and deliverables. We recognize that spending this time up front (in project/RFP planning) is critical to assuring project delivery success. We do not cut corners when it comes to delivering services to our clients and we are committed to providing the right resources for this project during every phase.

Historically, NTT DATA has completed all IV&V contracts within time and budget to achieve a record of excellence and highest level of customer satisfaction, evidenced by our long-term relationship with existing clients. We will continue to do the same for the State of Nebraska. We further outline our detailed approach to the project plan and timelines in Section 2.2 and Attachment A, PM-1.

Overall, NTT DATA has engaged in more than 200 IV&V engagements specific to state IT projects. While space is not sufficient to list summaries of all 200+ projects in this proposal, we can attest that many of these past engagements are comparable to Nebraska's IV&V project in terms of scope, complexity, and team size. We are confident that DHHS will benefit from our proven IV&V approach and lessons learned from our past performance. Additional details on our prior experience and contract performance are provided in Section 1.8

Quality of Vendor Performance on Prior Contracts

More than anything else, our work leads to successful outcomes for our clients. Our quality and performance are evidenced by our high level of repeat business and our exemplary client satisfaction ratings. Each year, we survey clients to gather feedback regarding their satisfaction with our services. In addition to achieving an average score of 9.3 out of 10 points, we received a Net Promoter Score (NPS) of 78. The NPS is the industry standard metric for measuring client satisfaction, with a scale of -100 to 100. Our 2020 NPS of 78 places NTT DATA in the top 1% of consulting companies for client satisfaction, as shown in

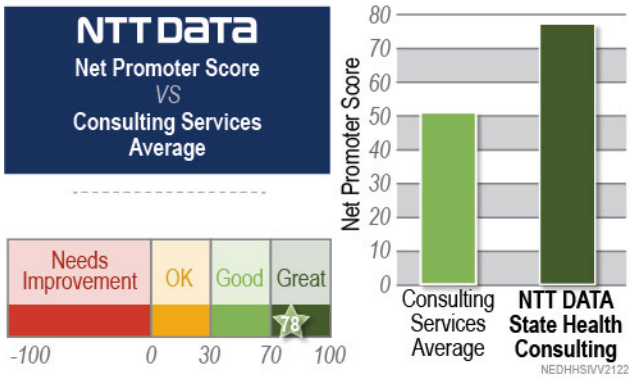

Figure 4. NTT DATA 2020 NPS

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Figure 4. In choosing to work with NTT DATA, the State of Nebraska will have a partner reputable for providing high value services and collaborating with state government agencies to achieve successful outcomes for their MES modernizations.

NTT DATA continues to maintain 100% compliance across our contracts in terms of contract costs, schedules, and quality. As a result, our NPS is 30 points higher than our industry peers.

Conclusion. For the State of Nebraska, selecting NTT DATA for this IV&V contract represents a decision that reduces risk, elevates quality, and maximizes the value of the State's large-scale IT initiatives. Our demonstrated experience across multiple states and agencies illustrates our capability and capacity to be Nebraska's trusted vendor on this IV&V contract. Few vendors can compete with the number of IV&V projects our team has **successfully completed in just the past five years: 20 projects in 12 states and 14 agencies with 37 client system certifications supported.** We look forward to applying our real-world knowledge and experience to the advantage of the State of Nebraska's projects.

1.1 Contractor Identification and Information (RFP VI A.1.a)

Figure 5 lists the RFP requirements and our response to each requirement.

Figure 5. NTT DATA Identification and Information

RFP Requirement	NTT DATA Response
Corporate Name and Headquarters Address	NTT DATA State Health Consulting, Inc. 7950 Legacy Drive, Suite 900 Plano, TX 75024
Entity Organization (corporation, partnership, proprietorship)	NTT DATA State Health Consulting, LLC is a Limited Liability Company
State Incorporated or Otherwise Organized to do Business	NTT DATA State Health Consulting, LLC (under the name of Cognosante Consulting, LLC) was incorporated in the State of Delaware
Year First Organized to do Business and Name and Form of Organization Changes	• NTT DATA State Health Consulting, LLC was organized to do business as FOX Systems in 1987 • FOX Systems merged with Cognosante in 2010 • FOX Systems officially changed its name to Cognosante in 2011 • Cognosante's Health Consulting Services business unit became Cognosante Consulting, LLC in 2016 • NTT DATA, Inc. acquired Cognosante Consulting, LLC in April 2019 and we began doing business as NTT DATA State Health Consulting, LLC (NTT DATA)

1.2 Financial Statements (RFP VI A.1.b)

For tax and financial reporting purposes, financial results for NTT DATA, Inc., are consolidated at the level of the NTT DATA Corporation, a publicly-traded corporation listed on the Tokyo Stock Exchange. NTT DATA abides by regulations that strive to protect investors by governing the disclosure of financial information. In light of these regulations on publicly-held companies and this corporate and financial structure, it is infeasible for NTT DATA to share financial information outside of quarterly and annual financial reports consolidated at the NTT DATA Corporation level and other carefully-planned disclosures.

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NTT DATA Corporation financial statements are audited by KPMG AZSA LLC. Audited financial statements and associated independent audit reports are provided each year to corporation shareholders in notices to shareholders issued annually about two months after the March 31 close of the fiscal year. Later, annual reports are issued that contain additional financial detail.

To address the State's requirement for audited financial statements, we provide a separate PDF of the NTT DATA Annual Report 2020. The report includes audited financial statements and independent audit reports. To review additional annual reports on our website, please use the following link https://www.nttdata.com/global/en/investors/financials?year=2021.

The fiscally responsible representative is:
Dave Mahony, Senior Vice President and Chief Financial Officer
1660 International Dr., Suite 300 McLean, VA 22102
(703) 848-7212

1.3 Change of Ownership (RFP VI A.1.c)

NTT DATA does not anticipate any change of ownership during the 12 months following the proposal due date.

1.4 Office Location (RFP VI A.1.d)

Our U.S. headquarters, based in Plano, Texas, is the executive office responsible for the performance of this contract. The address is 7950 Legacy Drive, Suite 900, Plano, TX 75024.

NTT DATA is committed to having an onsite presence with our state counterparts as necessary during the life of this contract. When not onsite in Nebraska, our employees are accustomed to successfully working remotely throughout the United States to support our various state clients.

1.5 Relationships with the State (RFP VI A.1.e)

NTT DATA has not done business with the State during the previous two years.

1.6 Contractor's Employee Relations to State (RFP VI A.1.f)

NTT DATA is not proposing any project team members who were employees of the State within the past 24 months.

1.7 Contract Performance (RFP VI A.1.g)

NTT DATA has not had a contract terminated for default in the past five years.

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1.8 Summary of Contractor's Corporate Experience (RFP VI A.1.h)

IV&V is a core NTT DATA competency. Few vendors can demonstrate the level of dedication to Medicaid IV&V projects that NTT DATA has in our years of serving the public sector. Of particular benefit to DHHS, our IV&V experience includes working with two of the four states in CMS Region 7: Kansas and Missouri. Our current work in these states brings recent, relevant experience and relationships with the CMS regional office overseeing this project with DHHS. We proudly bring this demonstrated experience to Nebraska.

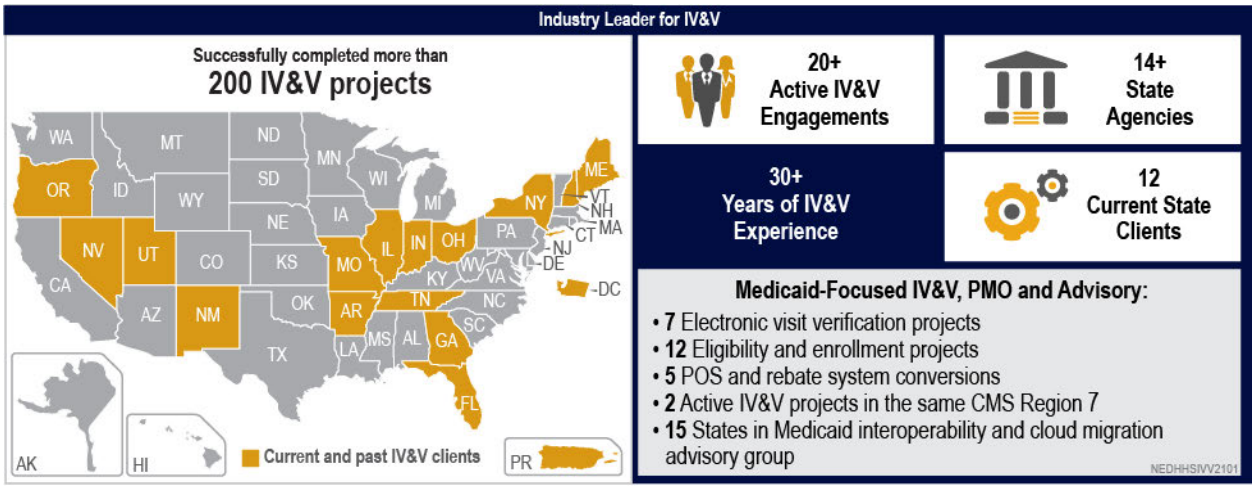

Figure 6. NTT DATA's National Experience and Leadership in MES IV&V

Over the past 30 years, through more than 200 IV&V projects, NTT DATA has helped government agencies throughout the United States transition changes in processes or technology and adopt legislative mandates. Our unique mix of experience, qualifications, and methodologies include:

- **A Medicaid Focus**. For over 30 years, NTT DATA has focused on serving government agencies and programs. We leverage NTT DATA's experience providing IV&V services across multiple state agencies and programs to bring a structured foundation that balances discipline and innovation.
- **The Expertise of Former State Leaders and a Specialized Practice.** Our proposed staffing structure and team includes individuals who have walked in the same shoes as state government leaders and have taken their organizations through enormous transformation in challenging times. Our team will use this first-hand experience and in-depth knowledge of state and federal regulations, technologies, and industry standards and practices to support the State in achieving its vision.
- **Established, Repeatable Methodologies.** Enterprise Advantage is NTT DATA's proven framework and methodology, developed specifically to deliver services to our public sector clients. As we will discuss in Section 2: Technical Approach, IV&V Advantage provides a repeatable structure and a proven toolset to provide objective assessment that minimizes risk and maximizes quality.

Through our consulting work with federal, state, and local government organizations, we have a proven track record of planning, analyzing, and executing technology upgrades, migrations, and transformations. To demonstrate the depth of our experience and expertise to serve the State, the following list provides a sample of projects from our client portfolio similar to Nebraska's project in size, scope, and/or complexity.

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Figure 7. NTT DATA's Demonstrated Experience on Similar Projects

State Client	Engagement Type		Systems						MLTC Required Experience						
	PMO, Procurement, and/or MITA	IV&V	MMIS and MES Modernization	Eligibility	EVV	Interoperability and Patient Access Rule	HITECH to MES	Pharmacy / POS / Drug Rebates	Project Management	Operations and System Readiness	Product Reviews	CMS and MITA Compliance	IV&V Deliverables	Reporting	Privacy and Security
Alabama Medicaid Agency	✓		✓		✓			✓	✓			✓		✓	
Alaska Department of Health and Social Services	✓			✓								✓			
Arizona Health Care Cost Containment System	✓		✓				✓		✓			✓		✓	
Arkansas Department of Human Services (DHS)	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Connecticut Department of Social Services *Planning for future modules underway		✓	✓						✓			✓	✓	✓	✓
Reference 2 Delaware Health and Social Services	✓		✓	✓				✓	✓		✓	✓		✓	✓
District of Columbia Dept. of Health Care Finance and Homeland Security		✓	✓		✓			✓	✓	✓	✓	✓	✓	✓	✓
Reference 1 Florida Agency for Health Care Administration (ACHA)		✓	✓			✓				✓	✓	✓	✓	✓	
Georgia Technical Authority and Department of Community Health	✓	✓		✓	✓					✓	✓	✓	✓	✓	✓
Hawaii Dept. of Human Services, Med-QUEST Division	✓		✓									✓			

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State Client	Engagement Type		Systems						MLTC Required Experience						
	PMO, Procurement, and/or MITA	IV&V	MMIS and MES Modernization	Eligibility	EVV	Interoperability and Patient Access Rule	HITECH to MES	Pharmacy / POS / Drug Rebates	Project Management	Operations and System Readiness	Product Reviews	CMS and MITA Compliance	IV&V Deliverables	Reporting	Privacy and Security
Illinois Department of Healthcare and Family Services and DoIT	✓	✓	✓	✓				✓	✓	✓	✓	✓	✓	✓	✓
Indiana Family and Social Services Administration		✓	✓					✓	✓	✓	✓	✓	✓	✓	✓
Iowa Department of Human Services	✓		✓	✓								✓		✓	✓
Kansas Department of Health and Environment	✓		✓						✓			✓		✓	
Maryland Dept. of Health and Mental Hygiene (MDH)	✓		✓			✓		✓				✓		✓	
Reference 3 Missouri Department of Social Services		✓	✓							✓	✓	✓	✓	✓	
Nevada Dept. of Health and Human Services		✓	✓		✓					✓		✓	✓	✓	✓
New Hampshire Dept. of Health & Human Services		✓	✓	✓						✓	✓	✓	✓	✓	✓
New Mexico Health and Human Services Dept. and Department of Health	✓	✓	✓	✓				✓	✓	✓	✓	✓	✓	✓	✓
New York Dept. of Health		✓	✓						✓		✓	✓	✓	✓	
Oklahoma Health Care Authority	✓		✓	✓				✓	✓	✓	✓	✓		✓	✓
Government of Puerto Rico Department of Health	✓	✓	✓	✓					✓	✓	✓	✓	✓	✓	✓
South Carolina Dept. of Health & Human Services	✓		✓		✓			✓	✓			✓	✓	✓	✓

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State Client	Engagement Type		Systems						MLTC Required Experience						
	PMO, Procurement, and/or MITA	IV&V	MMIS and MES Modernization	Eligibility	EVV	Interoperability and Patient Access Rule	HITECH to MES	Pharmacy / POS / Drug Rebates	Project Management	Operations and System Readiness	Product Reviews	CMS and MITA Compliance	IV&V Deliverables	Reporting	Privacy and Security
Tennessee Division of TennCare	✓	✓	✓	✓	✓		✓	✓	✓	✓	✓	✓	✓	✓	✓
Utah of Health, Division of Medicaid and Health Financing		✓	✓						✓		✓	✓	✓	✓	
Department of Vermont Health Access (DVHA) and Department of Children and Families (DCF)	✓		✓	✓					✓			✓		✓	✓

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Our team has extensive experience providing oversight on several similar projects, as the previous table demonstrated. While most of our clients are willing to provide references for our work, we have chosen the following three because of their relevancy to the Nebraska modules and deliverables:

[redacted]

1.8.1 Reference 1 – [redacted]

A. Time Period of the Project	
11/2017 – Present	
B. Scheduled and Actual Completion Dates	
Originally Scheduled Completion Date	**Actual (or Currently Planned) Completion Date**
Initial contract end date: 6/30/21 Contract extension: 6/30/2022	Current contract ends: 6/30/2022 (state law requires re-procurement after initial contract period)
C. Contractor's Responsibilities	
Medicaid Enterprise System IV&V	
D. Customer Name and Contact Information	
Name of Contact and Title. [redacted]	
E. Prime Contractor or Subcontractor	**Budget, Size of Project, and Complexity**
Prime Contractor	**Budget**: IV&V budget $19.17 million **Size of project team:** 10+ **Complexity of project:** Highly complex
Description of Work	
[redacted]	
Relevance to Nebraska DHHS MMIS IV&V	
[redacted]	

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1.8.2 Reference 2 – [redacted]

A. Time Period of the Project	
11/2017 – Present	
B. Scheduled and Actual Completion Dates	
Originally Scheduled Completion Date	**Actual (or Currently Planned) Completion Date**
December 10, 2022	December 10, 2022
C. Contractor's Responsibilities	
Medicaid Enterprise System IV&V	
D. Customer Name and Contact Information	
Name of Contact and Title. [redacted]	
E. Prime Contractor or Subcontractor	**Budget, Size of Project, and Complexity**
Prime Contractor	**Budget:** IV&V budget $12.8 million **Size of project team:** 5-10 **Complexity of project:** Highly complex
Description of Work	
[redacted]	
Relevance to Nebraska DHHS MMIS IV&V	
[redacted]	

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1.8.3 Reference 3 – [redacted]

A. Time Period of the Project	
7/2018 – Present	
B. Scheduled and Actual Completion Dates	
Originally Scheduled Completion Date	**Actual (or Currently Planned) Completion Date**
January 11, 2023	January 11, 2023
C. Contractor's Responsibilities	
Medicaid Management Information System IV&V	
D. Customer Name and Contact Information	
Name of Contact and Title. [redacted]	
E. Prime Contractor or Subcontractor	**Budget, Size of Project, and Complexity**
Prime Contractor	**Budget:** IV&V budget $3.9 million **Size of project team:** 3 **Complexity of project:** Medium complexity
Description of Work	
[redacted]	
Relevance to Nebraska DHHS MMIS IV&V	
[redacted]	

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1.9 Summary of Contractor's Proposed Personnel/Management Approach (RFP VI A.1.i)

1.9.1 Approach to Manage the Project (RFP VI A.1.i)

We discuss our approach to managing IV&V projects in detail in Section 2.2 and Attachment A, PM-1.

In this section, we discuss our approach to managing our proposed IV&V staffing for the five projects in Nebraska's portfolio. We understand these projects operate under different governance structures, have different State project teams, and may span different State agencies, divisions and/or departments.

NTT DATA knows the importance of bringing the right staff, knowledge, skills, tools, and techniques to an engagement with this complexity. We assigned teams to each of the projects in Nebraska's portfolio and staffed each team with experienced professionals that understand the risks associated with large system integration efforts. Our IV&V team members know that having and maintaining a cross-project, enterprise-level perspective, even in the midst of their individual project assignments, will contribute to the success of all projects in Nebraska's portfolio. This portfolio approach will bring value to Nebraska by:

- Helping to identify, mitigate, and resolve issues and risks that could impact more than one project
- Maintaining a strategic perspective so all projects align with Nebraska's overarching goals
- Streamlining and focusing communications, as appropriate, to project stakeholders
- Consistently applying processes and best practices across projects
- Communicating, applying, and enforcing strategic changes coming from the State or CMS across projects consistently

Staff Management
We will detail our plans for managing the staff in the Staff Management Plan (SMP) which is part of our IV&V Project Management Plan. The SMP will include the NTT DATA project organizational chart, a staffing plan with procedures for staff onboarding and offboarding, team member performance management plans, ongoing project team operations, staff training, and managing DHHS assets assigned to our team (such as security badges, State issued laptops, security key tokens, etc.). The IV&V Lead and the IV&V Project Manager will monitor and update the SMP on a regular basis.

Our weekly IV&V status reports will include our planned team staffing for the upcoming week, as well as travel schedules. It will also include details on meetings attended the prior week and attendance for meetings planned for the upcoming week.

Together, our IV&V Lead and our IV&V Project Manager will perform all staff-related processes in accordance with the documented SMP. They will also be responsible for the performance of our team across all five projects to make sure we are meeting expectations and delivering value to Nebraska.

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1.9.2 Key Personnel (RFP VI A.1.i)

To staff our proposed IV&V team with the skills and expertise necessary to complete the work outlined in the RFP, we analyzed the RFP requirements, answers to questions, and timing for the phases for each of the projects. Leveraging our experience and knowledge of IV&V processes, best practices, and other successful IV&V staffing models, we identified the staff roles and skill sets needed to complete the scope of work, deliverables, and CMS reporting. We cross-walked our list of roles and skills with the key positions and qualifications defined in the RFP.

As requested by Nebraska, we assigned at least five key staff to each project and allocated all team members at the start of the project. Based on the RFP and Nebraska's answers to questions, and where project timing and staff skills allowed, we were able to leverage a few team members across projects. We understand that timelines change, and if that happens, we will work with DHHS to maintain skilled and knowledgeable staff on each project. Additional details about our staffing and staff allocations for each project can be found in Section 2.7.3.

Staffing for the Long Term
The IV&V team will be sufficiently staffed throughout the contract as resource management is a key strength of NTT DATA and our state consulting business unit. Key attributes of our staffing capabilities:

- Our Client Partner will work with the IV&V Lead, IV&V Project Manager, and our internal Resource Management team to staff the project with the right resources and skillsets
- We have a dedicated full time Resource Management Director to manage all staff planning, recruitment, and hiring
- Our business unit currently has more than 300 staff (including subcontractors) which consist of consultants and managers and we are growing our team by 15 to 20% each year
- We have multiple dedicated recruiters to quickly source, screen, and staff candidates for open and new positions
- NTT DATA is known in the industry as a great place to work and attracts top industry talent
- We can leverage available staff from NTT DATA's public sector and health care business units to help us fill key vacancies when needed

We understand how to establish and organize an IV&V team to perform efficiently and effectively for an enterprise. Throughout the remaining section, we provide details about our proposed team, including our staff experience and knowledge, a description of our proposed IV&V team organization structure, an IV&V team organization chart, and details on our proposed Key Personnel and their qualifications. We are confident the State will find the IV&V team exceptionally qualified through our experience and expertise and as demonstrated by our long track record of successfully supporting similar projects.

Figure 8 provides a high-level view of our proposed team organization.

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Figure 8. Project Organizational Chart

Each component of our team organization is discussed in more detail, along with details on our proposed team members, throughout the remainder of this section and in Section 2.7.

1.9.2.1 Team Leadership (RFP VI A.1.i)

We are pleased to introduce three senior leaders to lead our IV&V team on this project: [redacted]. Figure 9 depicts the functional reporting structure of the leadership team proposed for this project.

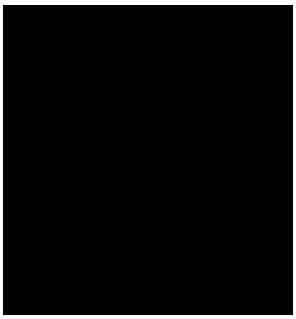

Figure 9. IV&V Leadership Team

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[redacted] **MBA, PMP is our proposed Client Partner** and brings experience and expertise overseeing large, complex Medicaid, Health Information Technology, and commercial programs and projects in multiple states – including IV&V contracts in Missouri and Connecticut – and a Quality Assurance Management contract in Kansas. She has dedicated most of her professional career to serving public sector IT projects. With more than 27 years of experience designing, leading, and operating IT systems, she is the best candidate for Nebraska's Client Partner. She has a proven record of success in both solution delivery and operational efficiency. Having worked with state agencies in multiple states most of her career, [redacted] genuinely relates to the responsibility and challenges which are upon DHHS leadership during this MLTC project. She will be a true partner in leading this IV&V engagement with Nebraska, making DHHS' project goals her first priority.

[redacted]

- 27+ years leading IT projects in both public and private sectors
- 17+ years working with healthcare IT system projects including Medicaid and Health Information Exchange (HIE)
- IV&V specific oversight in Missouri, Connecticut, and Kansas

As the Nebraska Client Partner, [redacted].

Figure 10 provides an overview of [redacted] and qualifications for her role as Client Partner.

Figure 10. [redacted]

Primary Work, Roles, Responsibilities
• Assures efficient and effective management and State satisfaction throughout the project • Provides executive oversight to confirm Nebraska's commitments are met • Verifies services are being delivered on time and with high quality • Participates in executive management meetings to support Nebraska's strategy and projects • Serves as an escalation point for our IV&V Lead, Project Manager, and DHHS leaders to quickly mitigate risks and resolve issues • Provides executive level consultation services to the State • Provides senior-level interface to the state • Organizes and directs the overall performance of the contract • Assures assignment/acquisition of all people and non-people resources by serving as the liaison between the project team and NTT DATA corporate resources
[redacted] Qualification Highlights
• Medicaid and HIE implementation and operations experience • Experience providing executive oversight to multiple and concurrent accounts, including Kansas (Quality Assurance), Missouri (IV&V), and Connecticut (IV&V). Kansas and Missouri which are in the same CMS region (Region 7) as Nebraska • HITECH funding familiarization • PMP certified

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Our proposed **IV&V Lead is [redacted], PMP**. He brings extensive experience in Medicaid-specific IV&V projects and will serve as the IV&V Lead for the MLTC project. [redacted] has over two decades of experience in planning, procurement, development, and implementation of complex Medicaid systems through post-implementation, with 17 of those years as a project manager or in other leadership roles. Most relevant to the Nebraska MLTC IV&V project is his recent work in the State of Georgia, where he served as the project lead on several IV&V projects, overseeing several highly complex implementations, including modules with Integrated Eligibility, Third-Party Liability (TPL), and EVV.

[redacted]

- 22+ years managing complex Medicaid systems through all project phases
- 17+ years as the lead project manager on Medicaid system implementations
- 7+ years of IV&V specific expertise across multiple modules

In the role of IV&V Lead for this project, [redacted]

Figure 11 provides an overview of [redacted] responsibilities and qualifications for his role as IV&V Lead.

Figure 11. IV&V Lead – [redacted]s

IV&V Lead Primary Work, Roles, Responsibilities
• Oversees IV&V for all projects, applying IV&V best practices and processes • Provides portfolio-level IV&V oversight for consistency, effectiveness, and efficiency across projects • Serves as primary point of contact with DHHS • Develops and maintains working relationships with Nebraska stakeholders for information accuracy and consistency of IV&V activities and assessments • Works with DHHS to fulfill contractual obligations and successfully complete projects • Reviews all deliverables for accuracy and timely submission • Guides enforcement of NTT DATA's IV&V methodology • Acts as the primary coordinator and principal intermediary to help resolve issues • Serves as the authorized point of contact for assigned work • Enforces quality standards and work performance on projects • Identifies areas of risk to cost, schedule, scope, and quality on the projects • Provides recommendations on risk mitigation or contingency options • Identifies and reports deviations from, or execution of, plans that may jeopardize the project(s) • Identifies, documents, and verifies delivery of proper communications • Manages the timely performance and completion of all contractual obligations • Applies consultative and technical expertise in fulfillment of contract deliverables
Examples of How [redacted] Meets the RFP Qualifications for IV&V Lead
• Minimum of five (5) years of experience in managing or in a key management position for a large-scale healthcare IT development project that encompasses the full system development life cycle from initiation through post implementation – [redacted] has 15 years of PM experience on large IT

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development projects in Georgia, Florida, New Hampshire, North Carolina, Montana, New Mexico, and other states. Currently, he is serving as the Project Manager for the Georgia Department of Community Health – IV&V for TPL and EVV projects. He was also the Project Manager for the Georgia Department of Human Services Gateway MEET Post Operational Review (R3) and the Project Manager for the Georgia Gateway Integrated Eligibility System.

- Previous experience following a standard PM methodology and in using various project management tools in developing project plans, delivering tasks, and tracking timelines and resources – [redacted] has [redacted] states.
- Previous Medicaid experience – [redacted] has 22 years of Medicaid experience.
- Previous IV&V experience – [redacted] is currently serving as the PM for Georgia IV&V projects.

Additional Qualifications

- PMP certified
- [redacted] has experience in the following modules:
  - EVV
  - IE&E/Benefit Management
  - POS/Drug Rebate experience

NTT DATA is pleased to propose [redacted] **as our IV&V Project Manager and IV&V Business/Test Analyst.** [redacted] brings extensive experience in project management, business/test analysis, and IV&V. Having worked on Nebraska's IV&V projects for the past three years, she brings state-specific expertise that will allow her to acclimate quickly in this role and bring value to this project from day one as a member of our leadership team. [redacted] has more than 20 years of experience advising, directing, and managing projects and strategic initiatives within the public healthcare industry.

[redacted]

- 20+ years leading projects in public healthcare
- Medicaid experience on similar projects in 7 states
- 3 years of Nebraska-specific IV&V experience

In addition to her recent work in Nebraska, she brings multi-state experience from other relevant projects in South Carolina, Ohio, Pennsylvania, Virginia, Iowa, and New Mexico.

[redacted]

Figure 12 provides an overview of [redacted] responsibilities and qualifications for the IV&V Project Manager and IV&V Business/Test Analyst role.

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Figure 12. IV&V Project Manager and IV&V Business/Test Analyst – [redacted]

Primary Work, Roles, Responsibilities
• Provides portfolio-level program oversight so that consistency, effectiveness, and efficiencies are realized across the projects in Nebraska's portfolio • Manages all projects, applying project management best practices and processes • Works with DHHS to fulfill contractual obligations and successfully deliver projects based on the approved project plans and schedules • Guides timely and successful completion of all NTT DATA tasks • Supports the IV&V Lead with IV&V deliverable creation, submission, and presentation activities • Acts as a coordinator and intermediary to help resolve issues • Monitors and controls project costs • Manages the day-to-day operations of the IV&V team • Plans, directs, controls, schedules, coordinates, and organizes management of tasks • Enforces quality standards and work performance on projects • Identifies areas of risk to cost, schedule, scope, and quality on the projects • Provides recommendations on risk mitigation or contingency options • Identifies and reports deviations from plans or execution of those plans that may jeopardize the project(s) • Identifies, documents, and verifies delivery of proper communications • Provides analysis and assessments for project artifacts including project management plans and schedules, requirements analysis, design and development documents, security plans, testing plans, data conversion and migration plans, and other deliverables • Applies consultative and technical expertise in fulfillment of contract deliverables
Examples of How [redacted]
[redacted]
Additional Qualifications
• IV&V experience (preferred) – [redacted] has five years IV&V experience with the states of Nebraska and New Mexico • IE&E/Benefit Management experience

Together, this Leadership Team will provide sound leadership and direction to proactively address solutions to any challenges that may arise.

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Senior Advisory Team

Experience has demonstrated the presence of senior leadership brings success and insight to our projects. Based on our understanding of the scope of work and our experience on similar IV&V engagements, we propose a Senior Advisory Team (SAT) that will support our team and be available to DHHS leadership throughout the project, especially for support of major strategic decisions. The SAT is offered as a value-add to DHHS for this project and they bring executive expertise in complex Medicaid implementation, IV&V leadership, and certification best practices.

Figure 13. Senior Advisory Team

During the first month of our engagement, we will work with DHHS to identify a schedule and set of activities for which DHHS leadership can consult with our SAT. The SAT can be valuable to DHHS by providing status of modular MMIS procurements and projects in other states and facilitating connections with other state leaders if desired. In addition, because the SAT includes executives with strengths and experience in the major areas of the IV&V contract, the SAT can provide consultation to DHHS on a variety of topics that may include:

- Certification guidance
- IV&V best practices
- Contract management guidance and support
- CMS visioning and guidance

Short biographies for our Senior Advisory Team members are included below.

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[redacted]

[redacted]

[redacted]

[redacted]

[redacted]

[redacted]n.

[redacted]

[redacted]

1.9.2.2 IV&V Team

NTT DATA knows the importance of bringing the right staff, knowledge, skills, tools, and techniques to an engagement of this complexity. We assigned teams to each of the projects in Nebraska's portfolio and staffed each team with experienced professionals that understand the risks associated with large system integration efforts. We describe the benefits of this portfolio approach in more detail in Section 1.9.1.

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Right Staff, Knowledge, Skills, Tools, and Techniques for Nebraska

NTT DATA's IV&V team members know that having and maintaining a cross-project perspective, even in the midst of their individual project assignments, will contribute to the success of all projects in Nebraska's portfolio.

We carefully selected the individuals needed to fill the key staff positions on our IV&V team based on how well their skills and experience align with DHHS' description of the roles and responsibilities and based on our experience with similar roles in other states. Each of our proposed team members is highly qualified in their domain (business analysis, test analysis, etc.) and our team provides experience across a wide range of subject areas. Our team depth also provides for significant overlap of skills and experience, giving us the flexibility to refocus our team on the most critical areas without impacting other important areas of a project.

Our staffing plan is designed so that three of our proposed key staff – the IV&V Lead, IV&V Project Manager, and Technical Analyst/Architect – maintain engagement in all five projects. Our experience has shown this will manage and align the full portfolio effectively and efficiently for the State.

Our IV&V business/test analysts are experienced with large system integration projects. Their day-to-day focus will be on the specifics for their assigned projects, but they are adept at identifying issues or risks that could impact the larger portfolio and communicating and managing those issues/risks appropriately. Similarly, they are familiar with and skilled at working in multi-project environments where strategic and portfolio-level processes and decisions impact their individual assignment. Figure 14 depicts our IV&V team members assigned to each project/module.

Figure 14. IV&V Project Team Organization Chart

We describe the leadership for our team in Section 1.9.2.1. Throughout the remainder of this section, we provide brief overviews for each team member, along with their roles, responsibilities, and skills for the role in which they are being proposed. Resumes and references are included in Section 1.9.2.5.

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[redacted]

[redacted] Summary of Experience Relevant to Nebraska

- 30+ years working in complex IT systems
- Expertise across multiple Medcaid modules, including EVV and IE&E

[redacted] responsibilities and qualifications for her role as IV&V Business/Test Analyst.

Figure 15. IV&V Business/Test Analyst – [redacted] Responsibilities and Qualifications

Primary Work, Roles, Responsibilities
• Provides analysis and assessments for all project artifacts including project management plans and schedules, requirements analysis, design and development documents, security plans, testing plans, data conversion and migration plans, and other deliverables • Submits status updates, activity reports, and develops and delivers IV&V review checklists • Supports the Project Manager with IV&V deliverable creation and submission activities • Writes IV&V reports or assigned sections of reports • Conducts compliance reviews and assessments of planning, requirements, design, construction, testing, and implementation deliverables • Evaluates assigned projects to determine application of industry best practices, assesses project risks, and identifies recommendations • Verifies deliverables conform to technical and non-technical requirements and quality standards • Provides knowledge and recognized expertise in the testing, test management, and testing best practices
Examples of How [redacted] Meets the RFP Qualifications for IV&V Business / Test Analyst
• [redacted]
Additional Qualifications
• [redacted] has experience in the following modules: – EVV – IE&E/Benefit Management

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[redacted]

[redacted] Summary of Experience Relevant to Nebraska

- 20+ years of business analysis and training experience
- 10+ years as Business Analyst and Testing Lead on MMIS implementations

[redacted].

Figure 16 provides an overview of [redacted] responsibilities and qualifications for her role as IV&V Business/Test Analyst.

Figure 16. IV&V Business/Test Analyst – [redacted] Responsibilities and Qualifications

Primary Work, Roles, Responsibilities

- Provides analysis and assessments for all project artifacts including project management plans and schedules, requirements analysis, design and development documents, security plans, testing plans, data conversion and migration plans, and other deliverables
- Submits status updates, activity reports, and develops and delivers IV&V review checklists
- Supports the Project Manager with IV&V deliverable creation and submission activities
- Writes IV&V reports or assigned sections of reports
- Conducts compliance reviews and assessments of planning, requirements, design, construction, testing, and implementation deliverables
- Evaluates assigned projects to determine application of industry best practices, assesses project risks, and identifies recommendations
- Verifies deliverables conform to technical and non-technical requirements and quality standards
- Provides knowledge and recognized expertise in the testing, test management, and testing best practices

Examples of How [redacted] Meets the RFP Qualifications for IV&V Business / Test Analyst

[redacted]

Additional Qualifications

- [redacted] has experience in the following modules:
  - Interoperability/Patient Access Rule
  - IE&E/Benefit Management
  - POS/Drug Rebate

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[redacted]

[redacted]h: Summary of Experience Relevant to Nebraska

- 20+ years of testing and project management experience
- Expertise across multiple MMIS modules including EVV

[redacted].

Figure 17 provides an overview of Brendan's responsibilities and qualifications for his role as IV&V Business/Test Analyst.

Figure 17. IV&V Business/Test Analyst – [redacted] Responsibilities and Qualifications

Primary Work, Roles, Responsibilities
• Provides analysis and assessments for all project artifacts including project management plans and schedules, requirements analysis, design and development documents, security plans, testing plans, data conversion and migration plans, and other deliverables • Submits status updates, activity reports, and develops and delivers IV&V review checklists • Supports the Project Manager with IV&V deliverable creation and submission activities • Writes IV&V reports or assigned sections of reports • Conducts compliance reviews and assessments of planning, requirements, design, construction, testing, and implementation deliverables • Evaluates assigned projects to determine application of industry best practices, assesses project risks, and identifies recommendations • Verifies deliverables conform to technical and non-technical requirements and quality standards • Provides knowledge and recognized expertise in the testing, test management, and testing best practices
Examples of How [redacted] Meets the RFP Qualifications for IV&V Business / Test Analyst
• [redacted] the South Carolina Medicaid Multi-Vendor Integrator project and assigned to ASO and EVV.
Additional Qualifications
• PMP certified • CTFL certified • [redacted] has experience in the following modules: – EVV – Interoperability/Patient Access Rule

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[redacted]

[redacted] Summary of Experience Relevant to Nebraska

- 26+ years of experience with MMIS modernization and replacement projects
- Business Analyst experience in 12 states

[redacted]

Figure 18 provides an overview of [redacted] responsibilities and qualifications for her role as IV&V Business/Test Analyst. Her resume is included in Section 1.9.2.5.

Figure 18. IV&V Business/Test Analyst – [redacted] Responsibilities and Qualifications

Primary Work, Roles, Responsibilities
• Provides analysis and assessments for all project artifacts including project management plans and schedules, requirements analysis, design and development documents, security plans, testing plans, data conversion and migration plans, and other deliverables • Submits status updates, activity reports, and develops and delivers IV&V review checklists • Supports the Project Manager with IV&V deliverable creation and submission activities • Writes IV&V reports or assigned sections of reports • Conducts compliance reviews and assessments of planning, requirements, design, construction, testing, and implementation deliverables • Evaluates assigned projects to determine application of industry best practices, assesses project risks, and identifies recommendations • Verifies deliverables conform to technical and non-technical requirements and quality standards • Provides knowledge and recognized expertise in the testing, test management, and testing best practices
Examples of How [redacted] Meets the RFP Qualifications for IV&V Business / Test Analyst
• [redacted]
Additional Qualifications
• EVV experience

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[redacted]

[redacted] Summary of Experience Relevant to Nebraska

- 20+ years of experience with MES systems and numerous modules
- Experience across seven states with MMIS projects

[redacted]

Figure 19 provides an overview of [redacted] responsibilities and qualifications for her role as IV&V Business/Test Analyst. Her resume is included in Section 1.9.2.5.

Figure 19. IV&V Business/Test Analyst – [redacted] Responsibilities and Qualifications

Primary Work, Roles, Responsibilities
• Provides analysis and assessments for all project artifacts including project management plans and schedules, requirements analysis, design and development documents, security plans, testing plans, data conversion and migration plans, and other deliverables • Submits status updates, activity reports, and develops and delivers IV&V review checklists • Supports the Project Manager with IV&V deliverable creation and submission activities • Writes IV&V reports or assigned sections of reports • Conducts compliance reviews and assessments of planning, requirements, design, construction, testing, and implementation deliverables • Evaluates assigned projects to determine application of industry best practices, assesses project risks, and identifies recommendations • Verifies deliverables conform to technical and non-technical requirements and quality standards • Provides knowledge and recognized expertise in the testing, test management, and testing best practices
Examples of How [redacted] Meets the RFP Qualifications for IV&V Business / Test Analyst
[redacted]
Additional Qualifications
• IV&V experience (preferred) – [redacted] has four years of IV&V experience on the Puerto Rico MMIS project • PMP certified • PMI-PBA certified • EVV experience

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[redacted]

[redacted] Summary of Experience Relevant to Nebraska

- 36+ years of technical experience with MMIS proejcts
- Experience across 15 states with complex MMIS projects, including Texas

[redacted]

Figure 20 provides an overview of [redacted] responsibilities and qualifications for his role as IV&V Technical Analyst/Architect. [redacted] is resume is included in Section 1.9.2.5.

Figure 20. IV&V Technical Analyst/Architect – [redacted] Responsibilities and Qualifications

Primary Work, Roles, Responsibilities
• Provides portfolio-level technical perspective across all five Nebraska projects • Performs technical and information architecture reviews, analysis and assessment activities • Participates in Design Sessions • Reviews, analyzes, and assesses federal and state regulations and standards for, and as applicable to, the projects
Examples of How [redacted] Meets the RFP Qualifications for IV&V Technical Analyst/Architect
• A [redacted]
Additional Qualifications
• Has experience in the following modules: – EVV – Pharmacy POS/Drug Rebate – IE&E/Benefit Management

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1.9.2.3 Interface and Support Functions (RFP VI A.1.i)

Our IV&V Team is supported by several key groups within NTT DATA. These groups are leveraged as needed to support the team and are offered as a value-add to Nebraska DHHS.

Figure 21: NTT DATA offers several value-add services to DHHS for this MLTC project.

Below, we include a brief description of each group and interface that will be leveraged during the course of our engagement with Nebraska.

Certification Excellence Team. Internally, within NTT DATA, we have established a CET that focuses on certification compliance, best practices, and other key areas of importance to our clients.

Certification Excellence Team

Our CET is staffed with more than 80 NTT DATA team members from 16 states who meet monthly to review certification activities at the state and national levels.

As the Medicaid Enterprise Certification Toolkit (MECT) and Medicaid Eligibility and Enrollment Toolkit (MEET) have evolved into OBC and SMC, so has our CET. Our team monitors CMS regional office interactions to formulate questions to CMS for clarification and compiles updates to the NTT DATA repository for use to assist state customers in the interim until CMS official guidance is released on SMC. We also make sure training materials include the latest activities and guidance.

As the team shares updates on certification activities, training materials, lessons learned, and other materials, these resources become part of our internal repository and are made available to all our teams engaged in certification activities. Within this library, we track the CMS recommendations from each project to help improve delivery of future certifications. Members of our proposed IV&V team participate in our CET and will bring these resources to Nebraska.

NTT DATA Quality Control. Delivering on our commitments and to the requirements in the RFP means providing quality deliverables the State can use to make decisions and meet program and project objectives. The NTT DATA QA/QC process for deliverable development and review meets strict standards of quality, ranging from the basics of proper grammar, punctuation, and spelling, to more complex areas of internal document consistency, alignment with applicable standards, industry best practices, and the overall message being communicated. Prior to submitting any deliverable to Nebraska, our internal NTT DATA QC person performs a quality review of the deliverable, and the IV&V staff make the appropriate updates.

Staffing and Recruiting. [redacted]

NTT DATA has close to 15,000 U.S.-based employees. This provides a steady source of IT professionals who become available for new opportunities as they successfully complete other projects for our clients. We can also reach out to our affiliate companies in the NTT Group or

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subcontractors for support when necessary. This allows us to be responsive and bring the right resources based on the needs of the specific project.

At this time, we do not intend to use subcontractors; however, in the event we do need to search outside of our organization to support project needs, NTT DATA uses multiple talent acquisition strategies to obtain the highest caliber resources.

We meet weekly to review the resource assignments on all our projects, and proactively plan for staff assignments to new projects or changes to staff as project needs evolve. We can respond timely and successfully to fulfill the staffing needs for the State, using NTT DATA's deep resource pool, detailed resource planning, and our ability to manage resources. It is important to note that all our personnel have experience and expertise and know what it takes to function at a high level on multiple concurrent projects in a multi-vendor enterprise environment. Many of the individuals on our teams can perform the responsibilities of more than one role if needed for backup support.

We recruit, retain, and succeed with the best people our industry has to offer, regardless of race, color, religion, sex, national origin, age, disability, genetic information, sexual orientation, gender identity, veteran status, or ethnic background.

Legal / Contracts. Over the course of our engagement with Nebraska, changes in regulations or policies, proposed changes to the priority of deliverables or contract terms, or changes requested by DHHS, may prompt changes to the contract. NTT DATA's internal legal experts review most contract modifications and help support our team so that contractual changes are coordinated across the contract, changes go through the appropriate analysis, and the appropriate leadership is engaged. As appropriate, approved/effected modifications are incorporated into the IV&V scope of work and tracked to completion by the IV&V Lead.

Financial Management. NTT DATA's Finance department will assist our IV&V Lead with any finance-related activities, including invoicing the State. For accuracy, our NTT DATA Finance department will create a draft invoice for approval by our IV&V Lead. Our IV&V Lead validates the draft invoice for accuracy of content and billing amounts and our NTT DATA Finance department makes any updates based on our IV&V Lead's review.

Once approved, our NTT DATA Finance department submits the monthly invoice to Nebraska for approval. The IV&V Lead will be the point of contact regarding deliverables signoff and the invoicing process.

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1.9.2.4 Reporting Relationships (RFP VI A.1.i)

Section 2.7.4 Organizational Chart for Each Project Team depicts the reporting relationship for our team for each project.

1.9.2.5 Resumes (RFP VI A.1.i)

[redacted]

[redacted]

[redacted]

[redacted]

[redacted]

[redacted]

[redacted]

[redacted]

[redacted]	[redacted]	[redacted]
[redacted]	[redacted]	[redacted]
[redacted]	[redacted]	[redacted]
[redacted]	[redacted]	[redacted]
[redacted]	[redacted]	[redacted]
[redacted]	[redacted]	[redacted]

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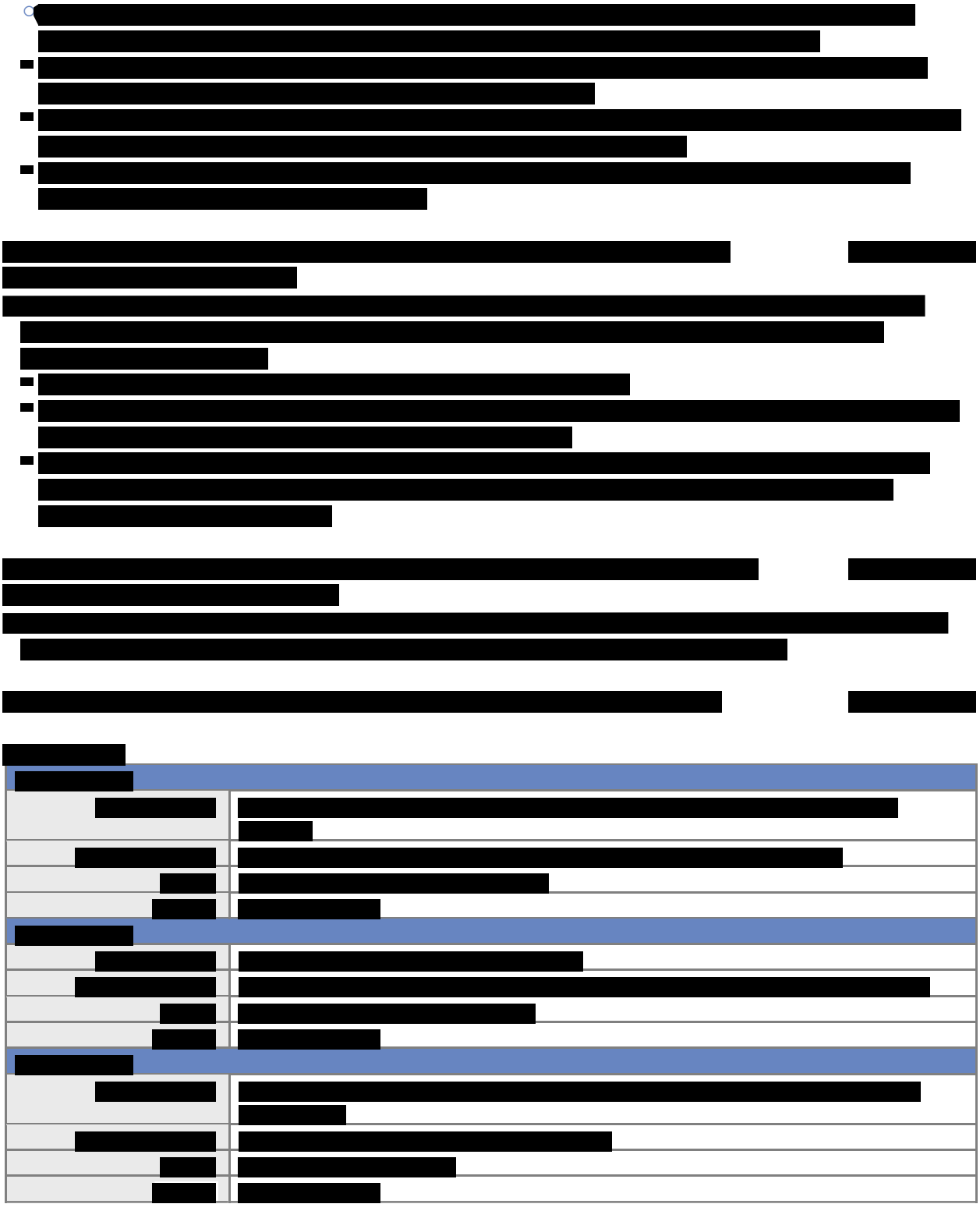
Relevant Experience

[redacted]

[redacted]

[redacted]



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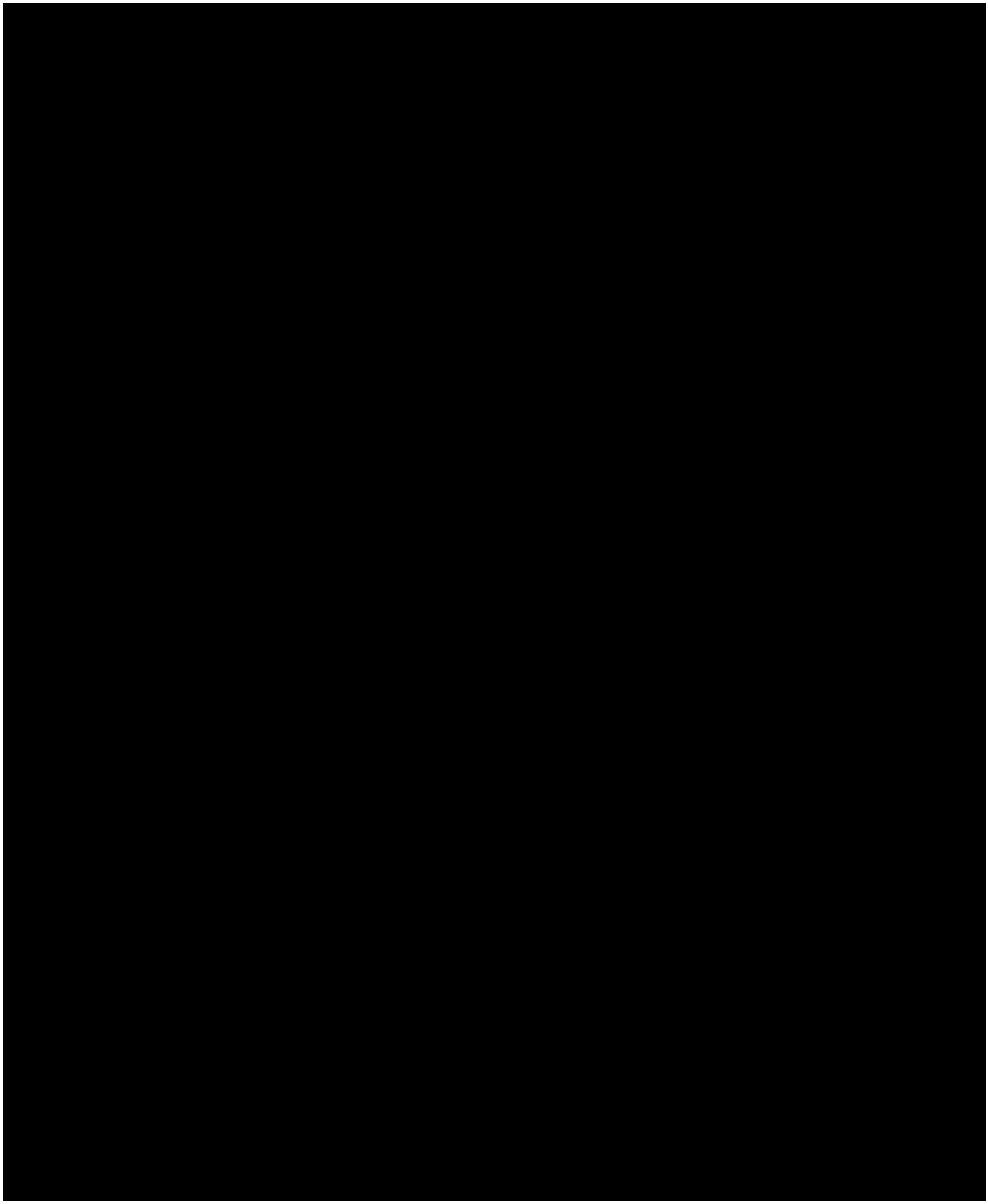

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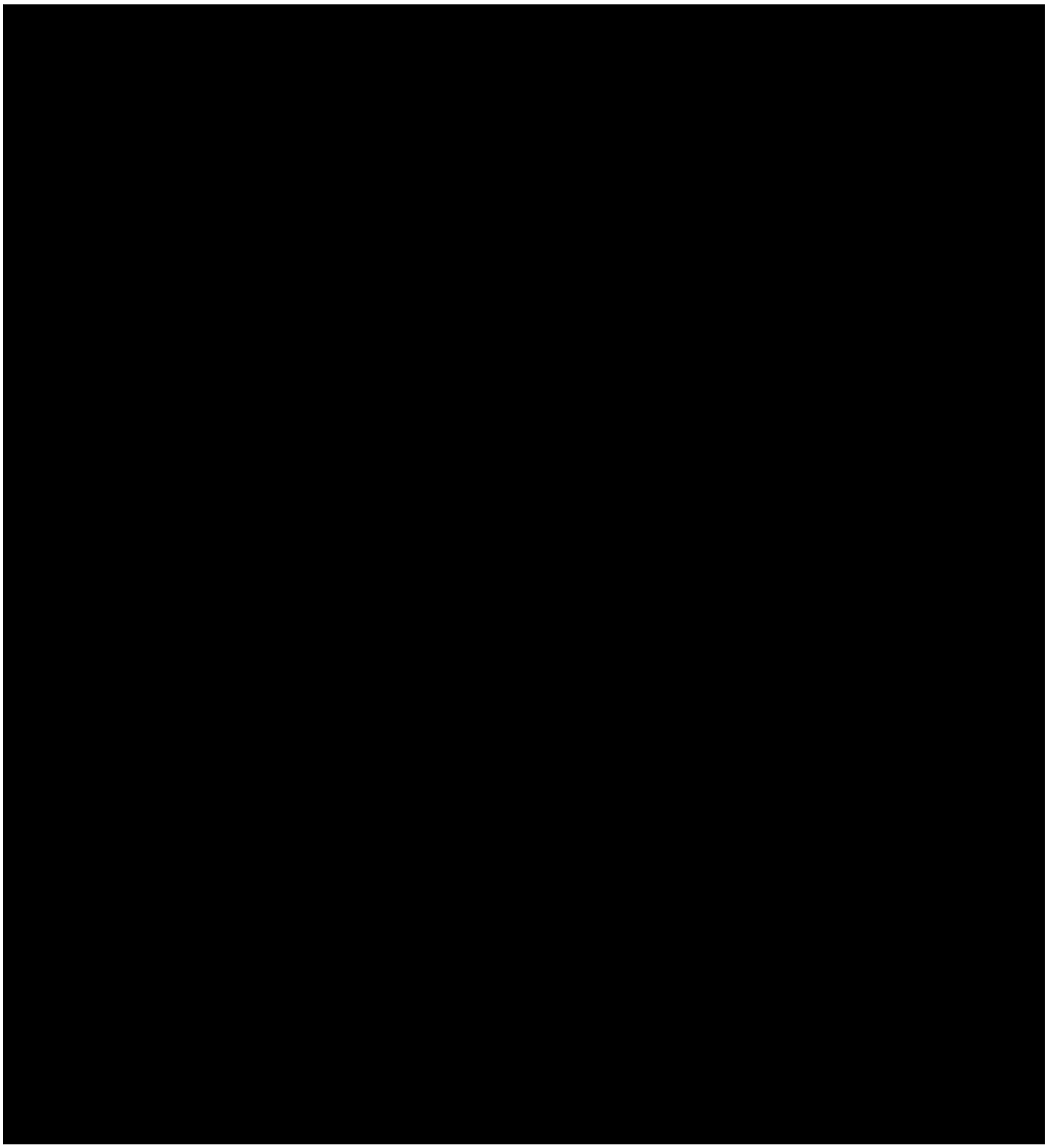

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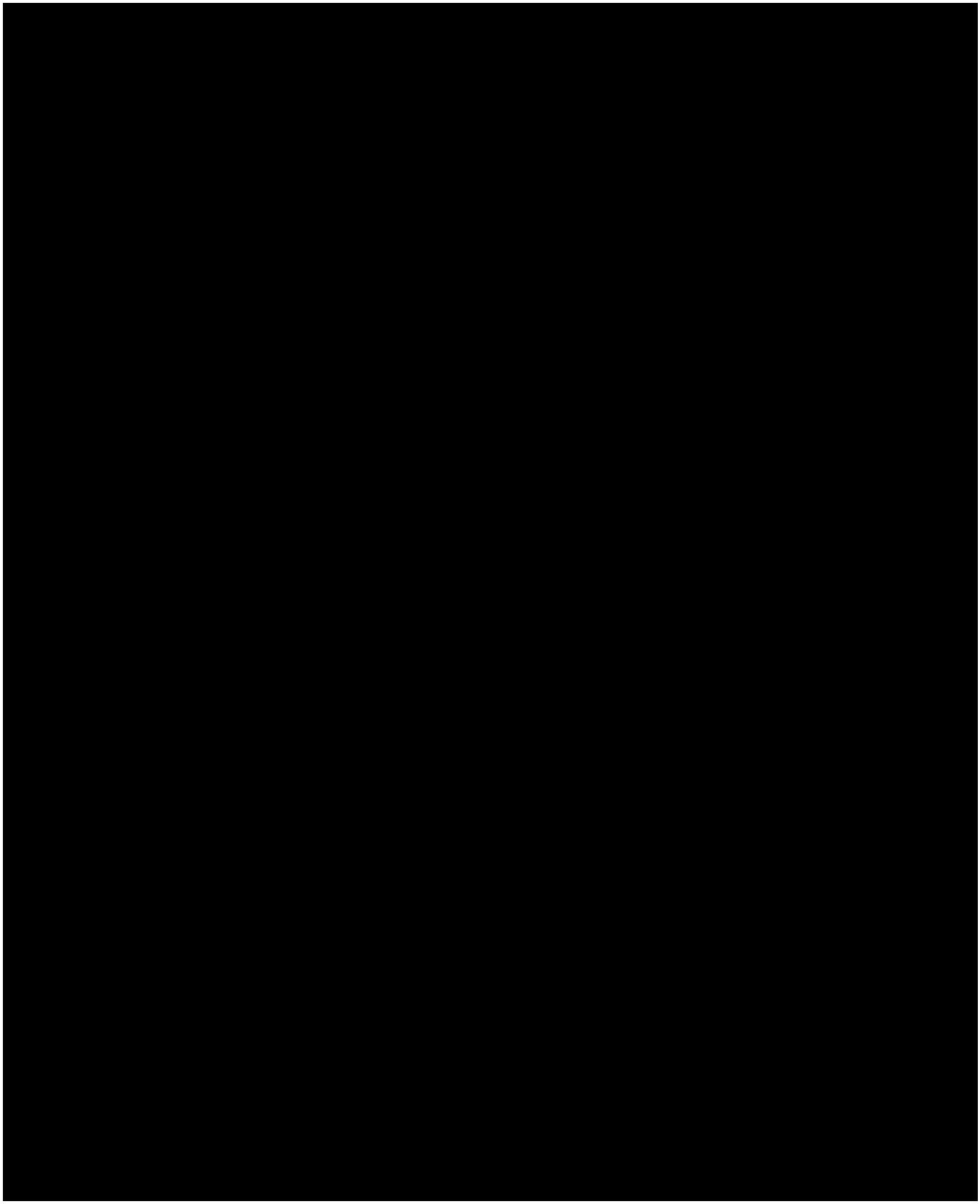

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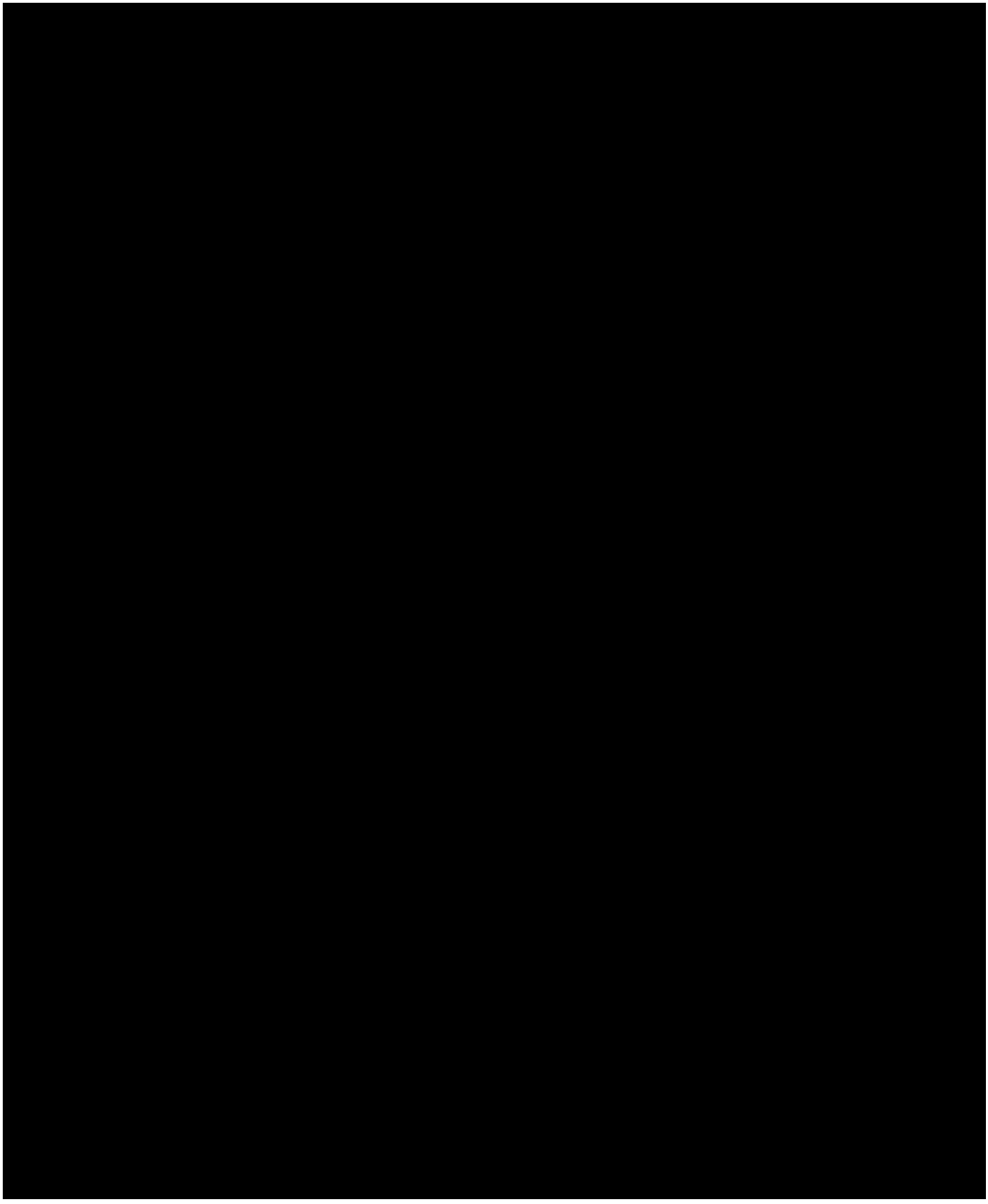

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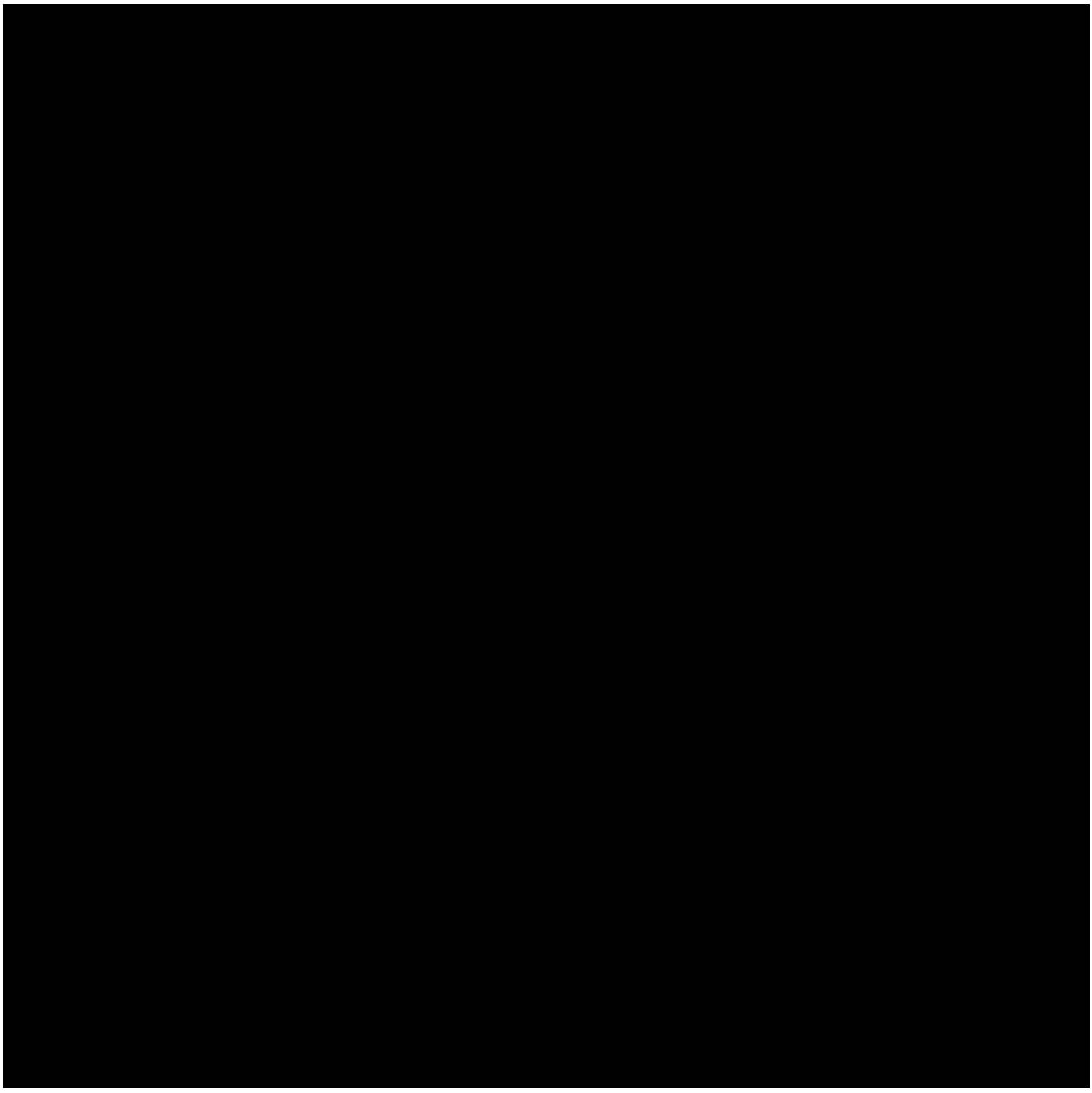

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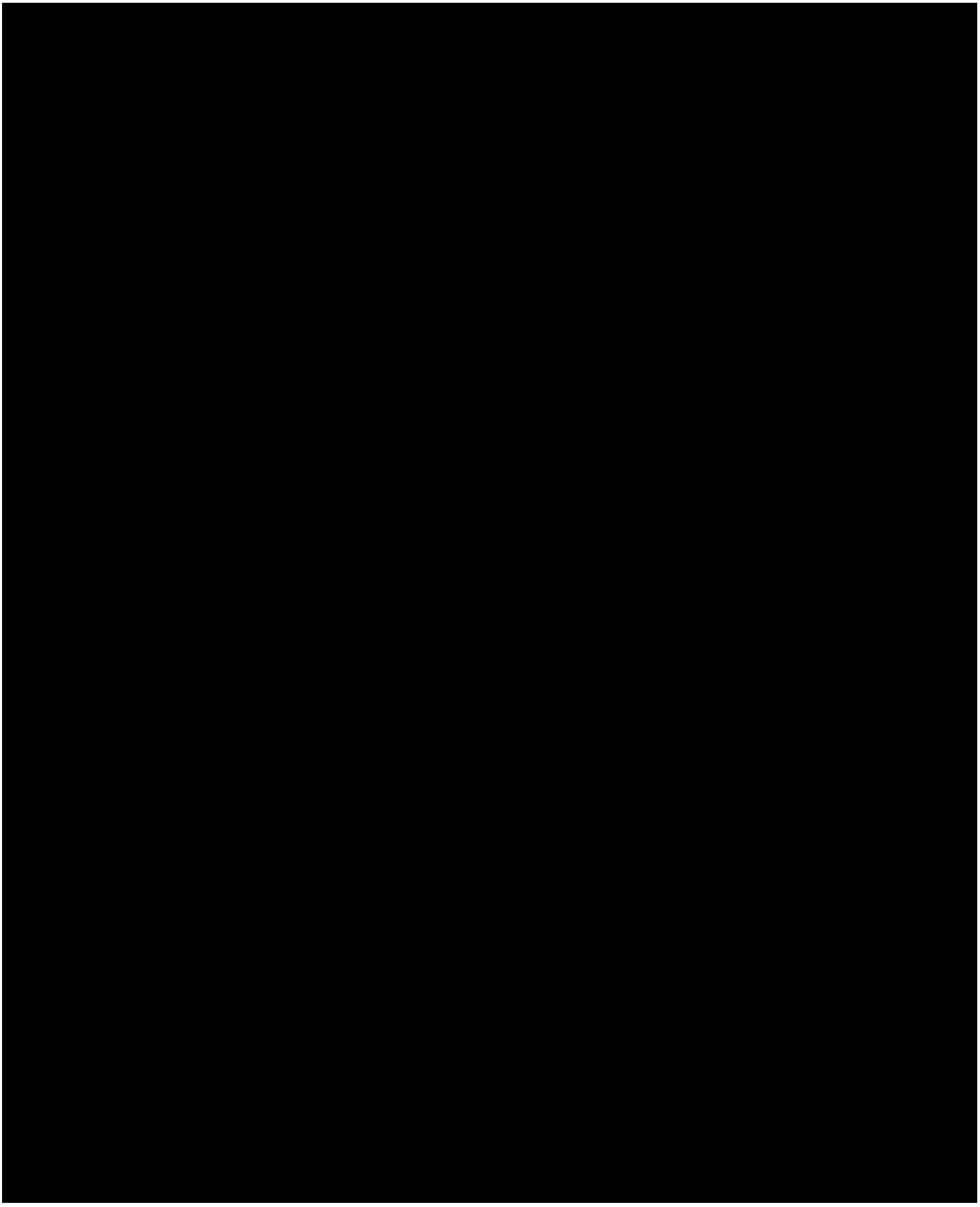

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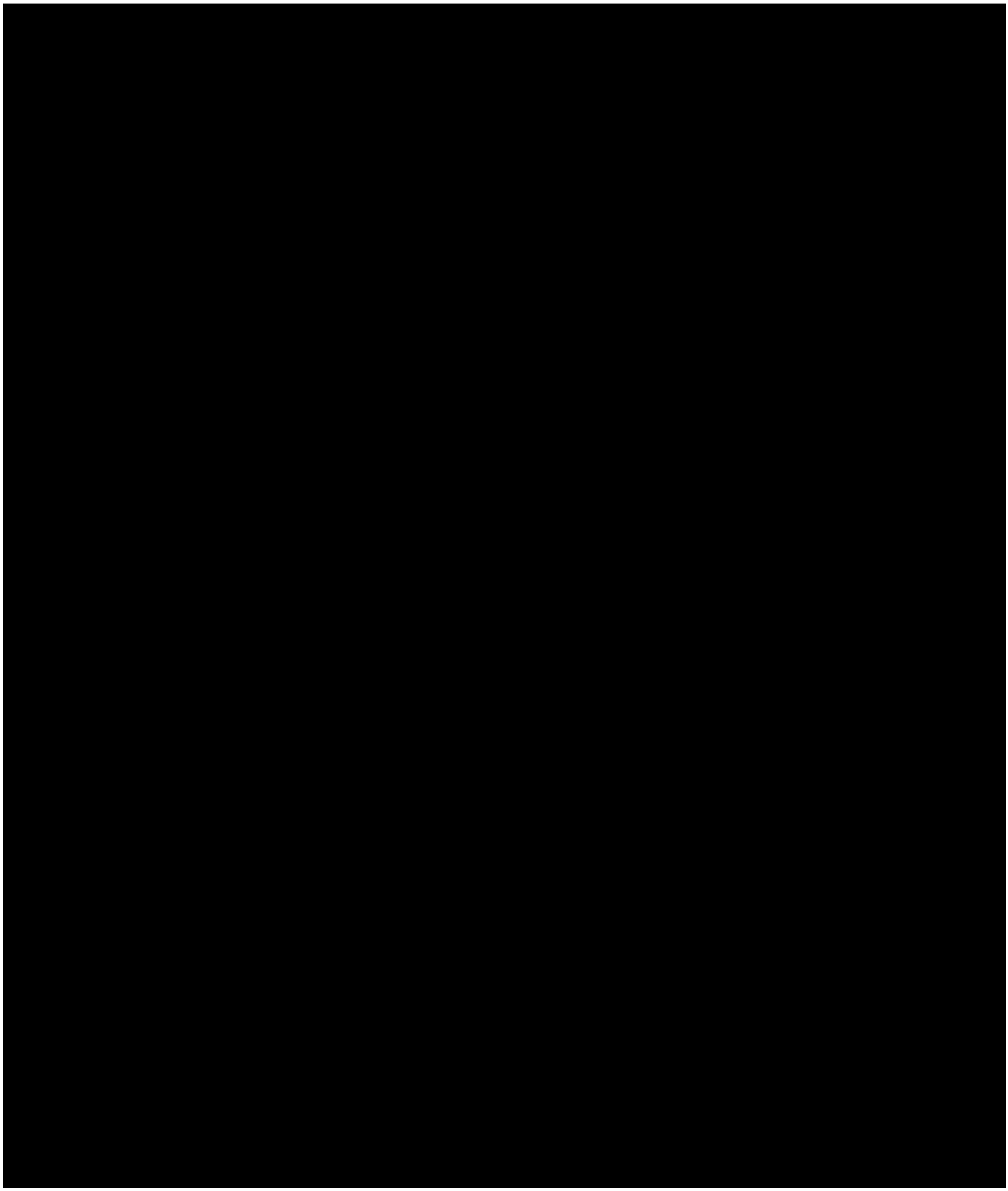

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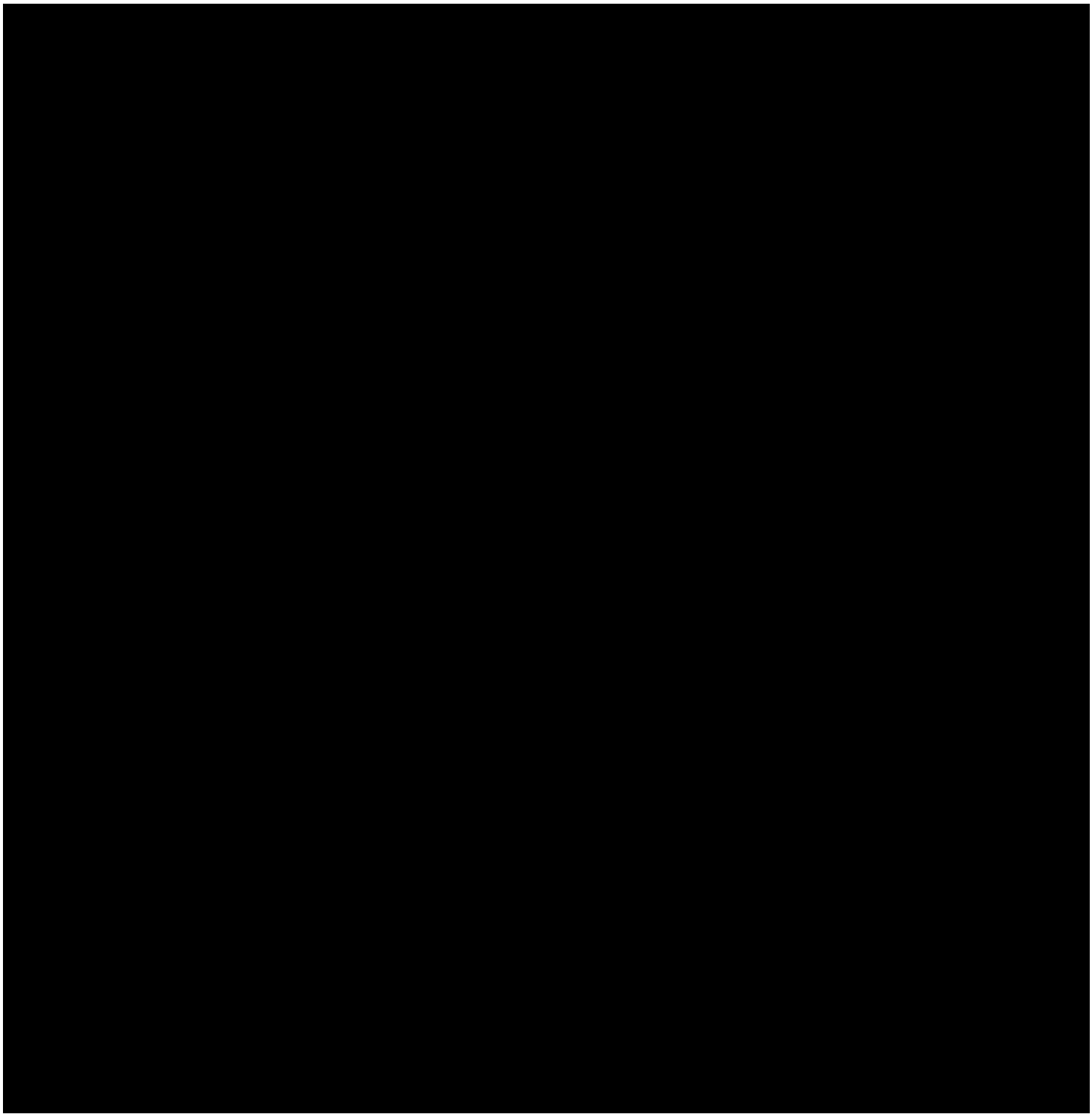

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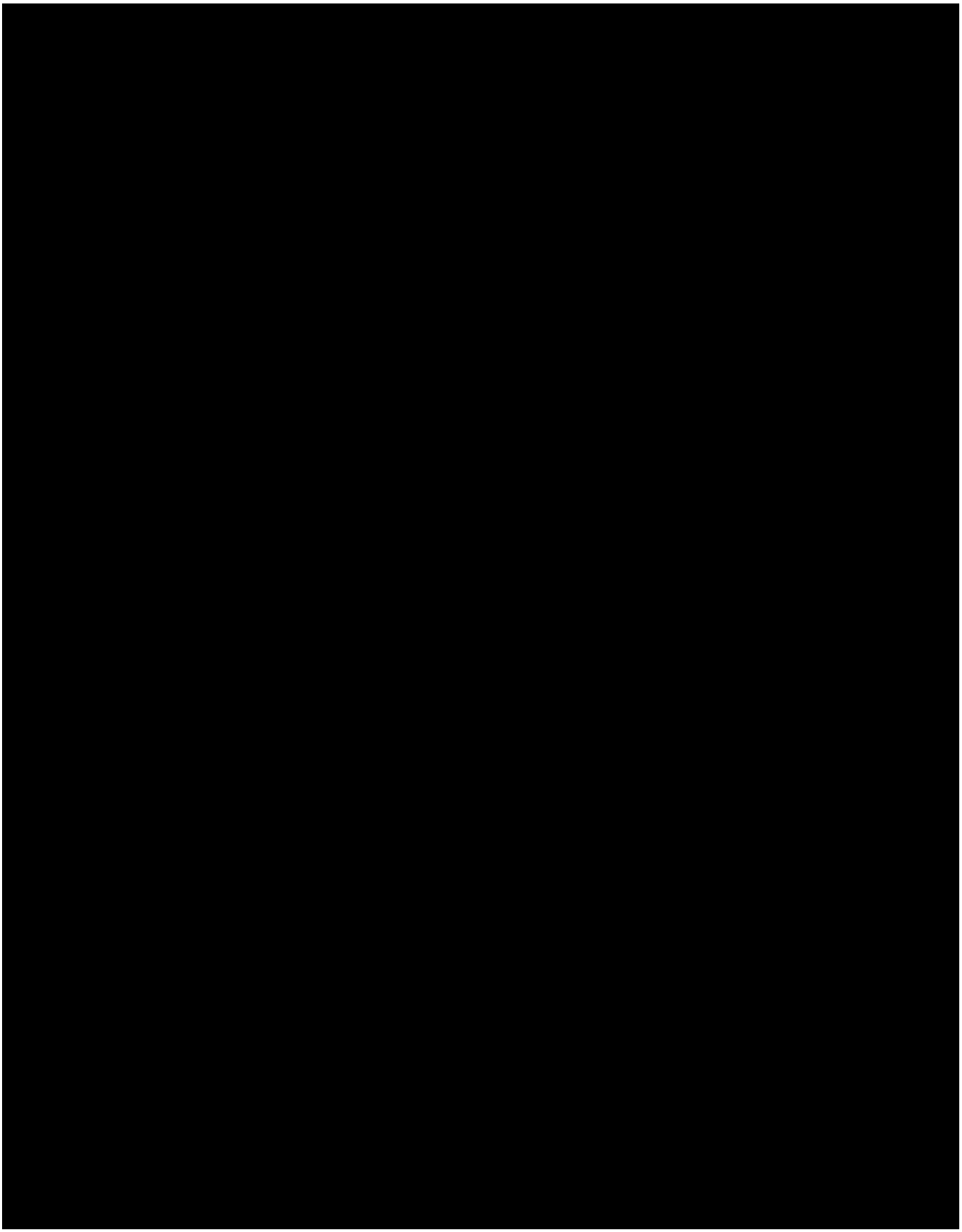

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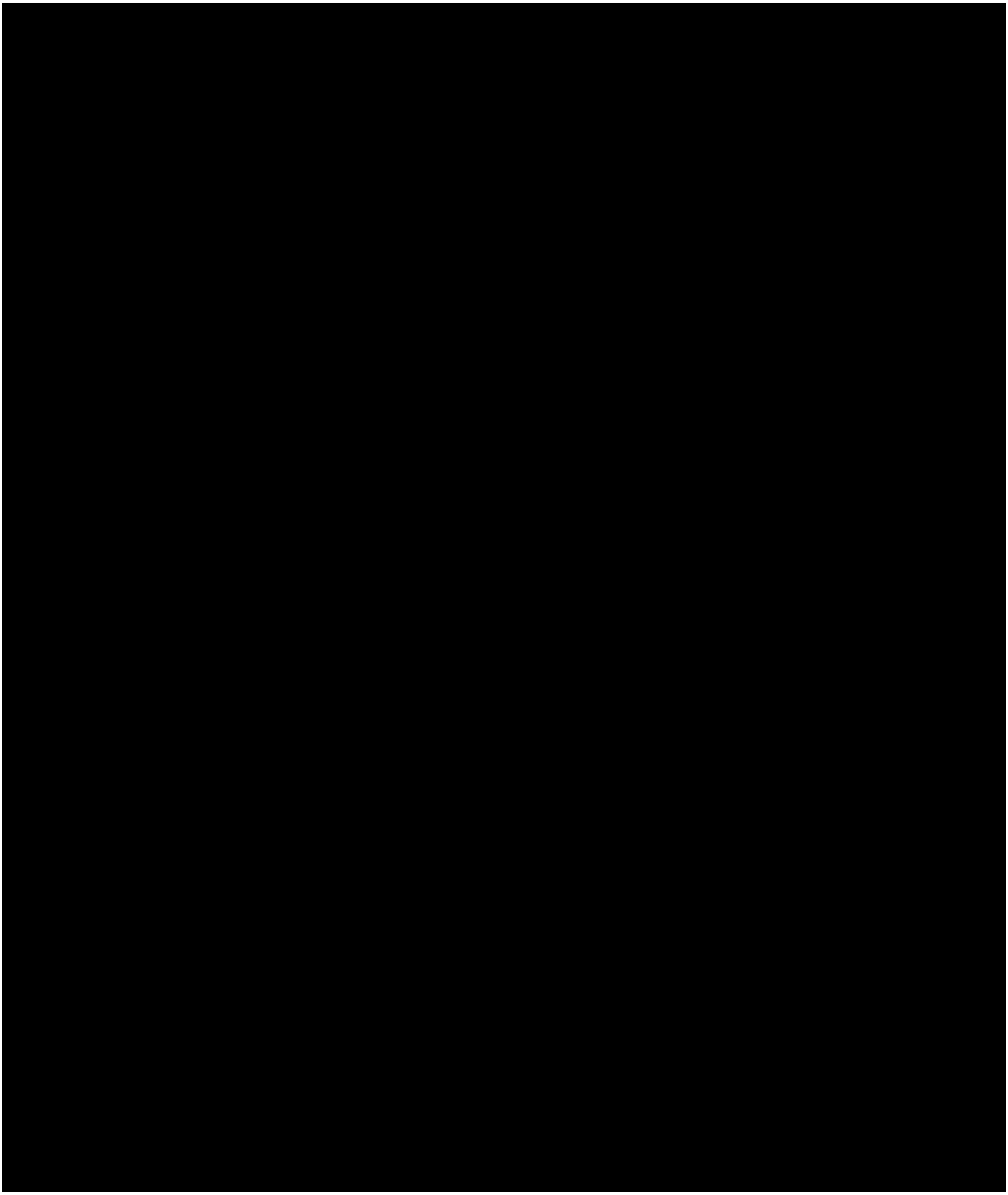

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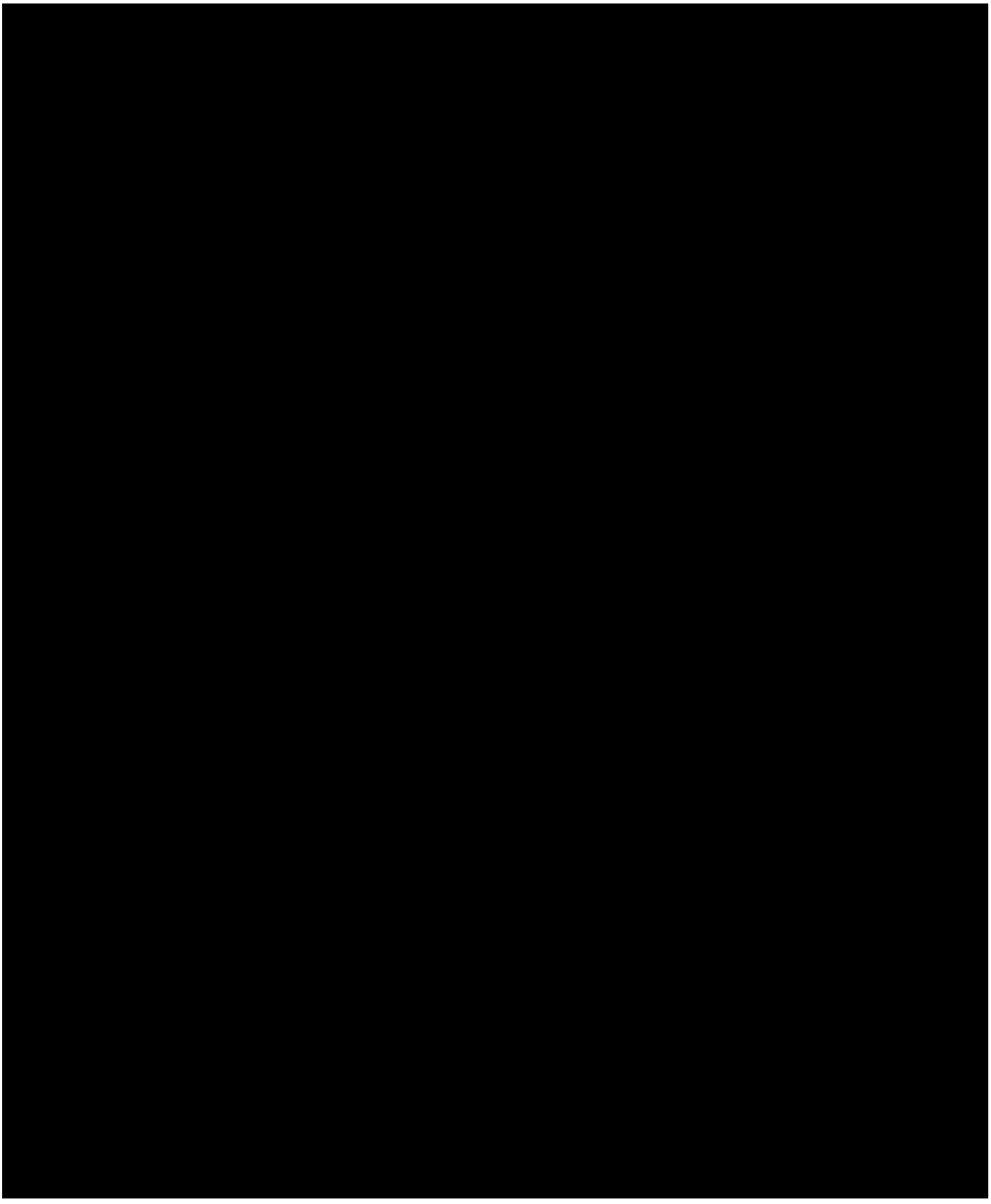

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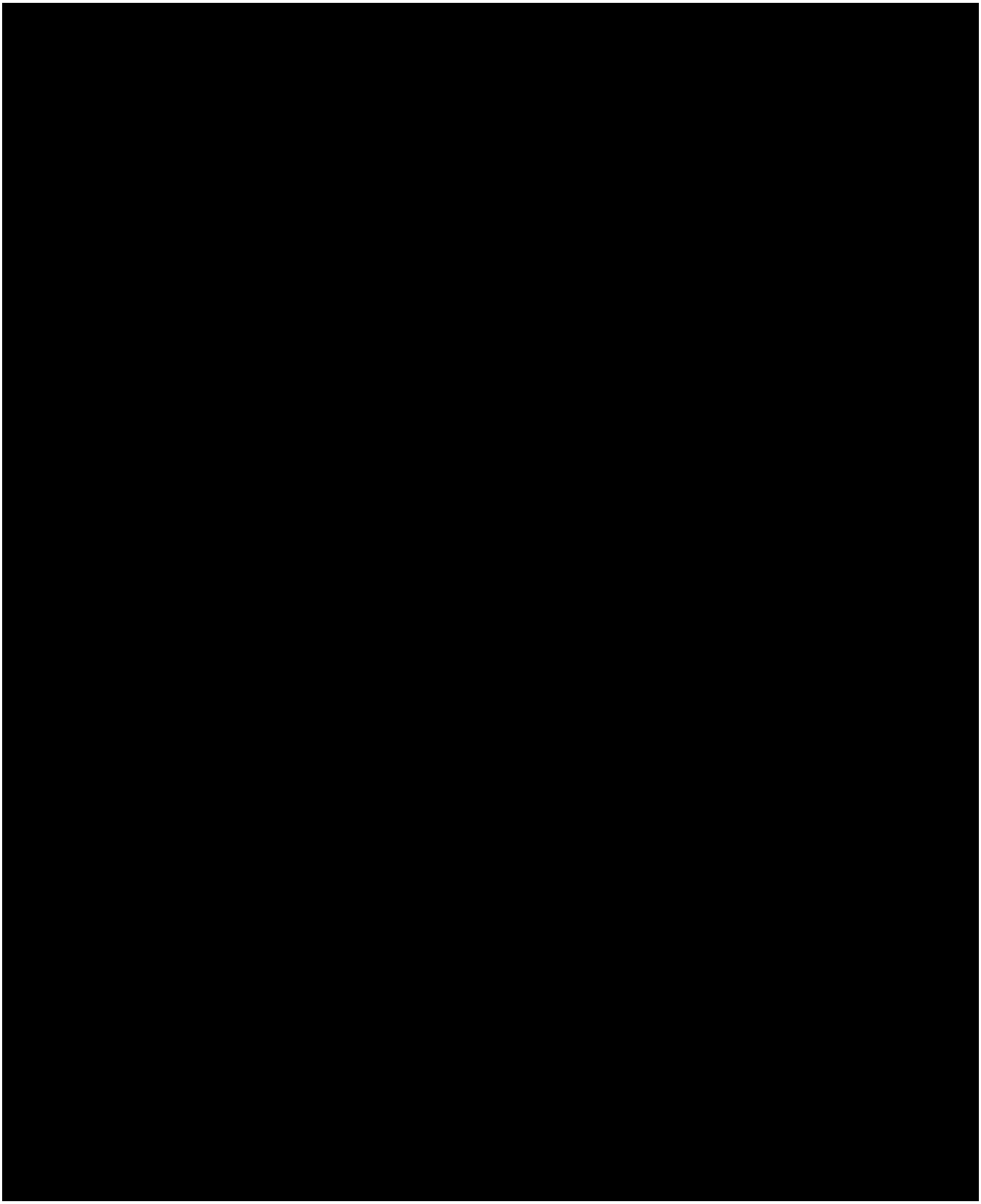

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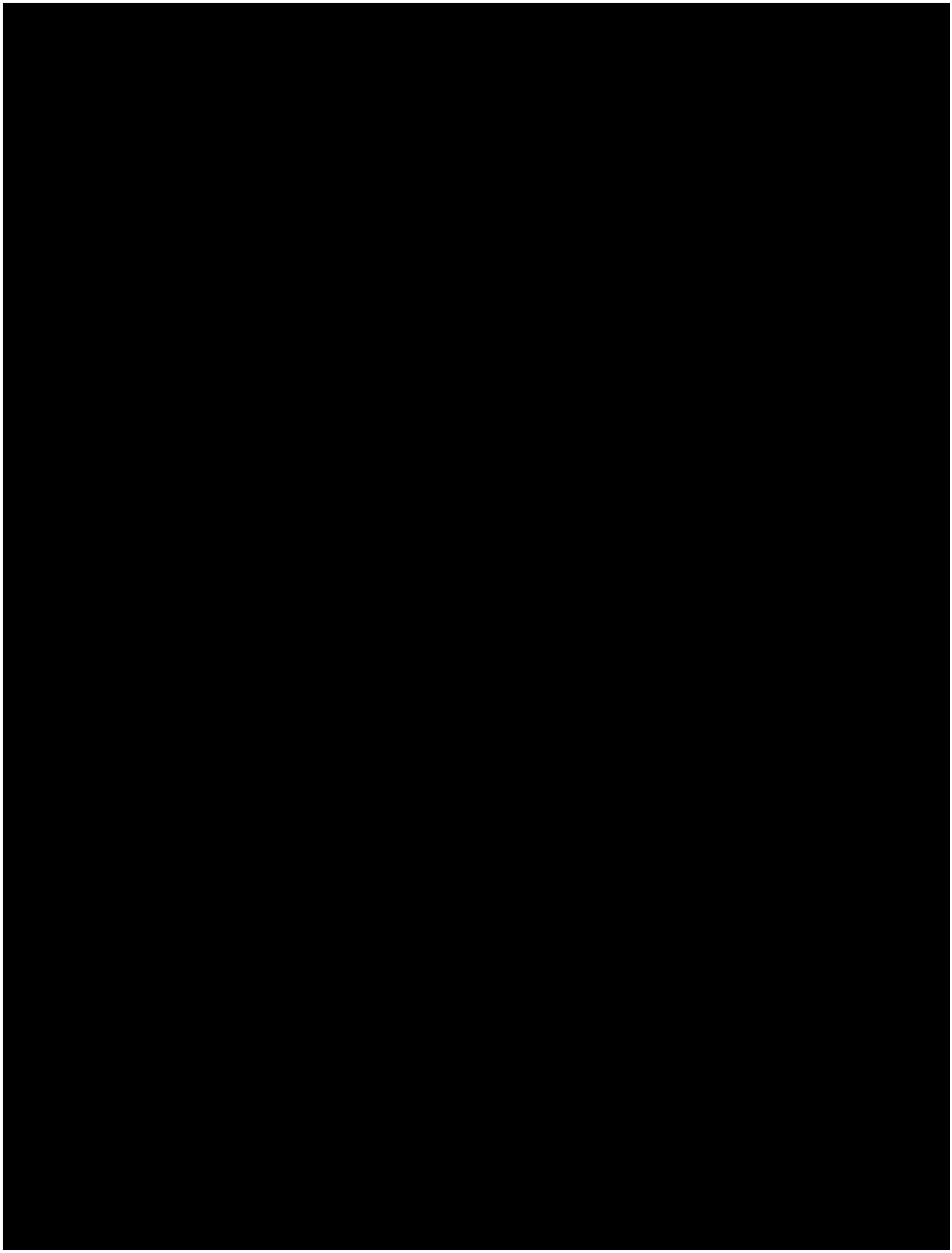

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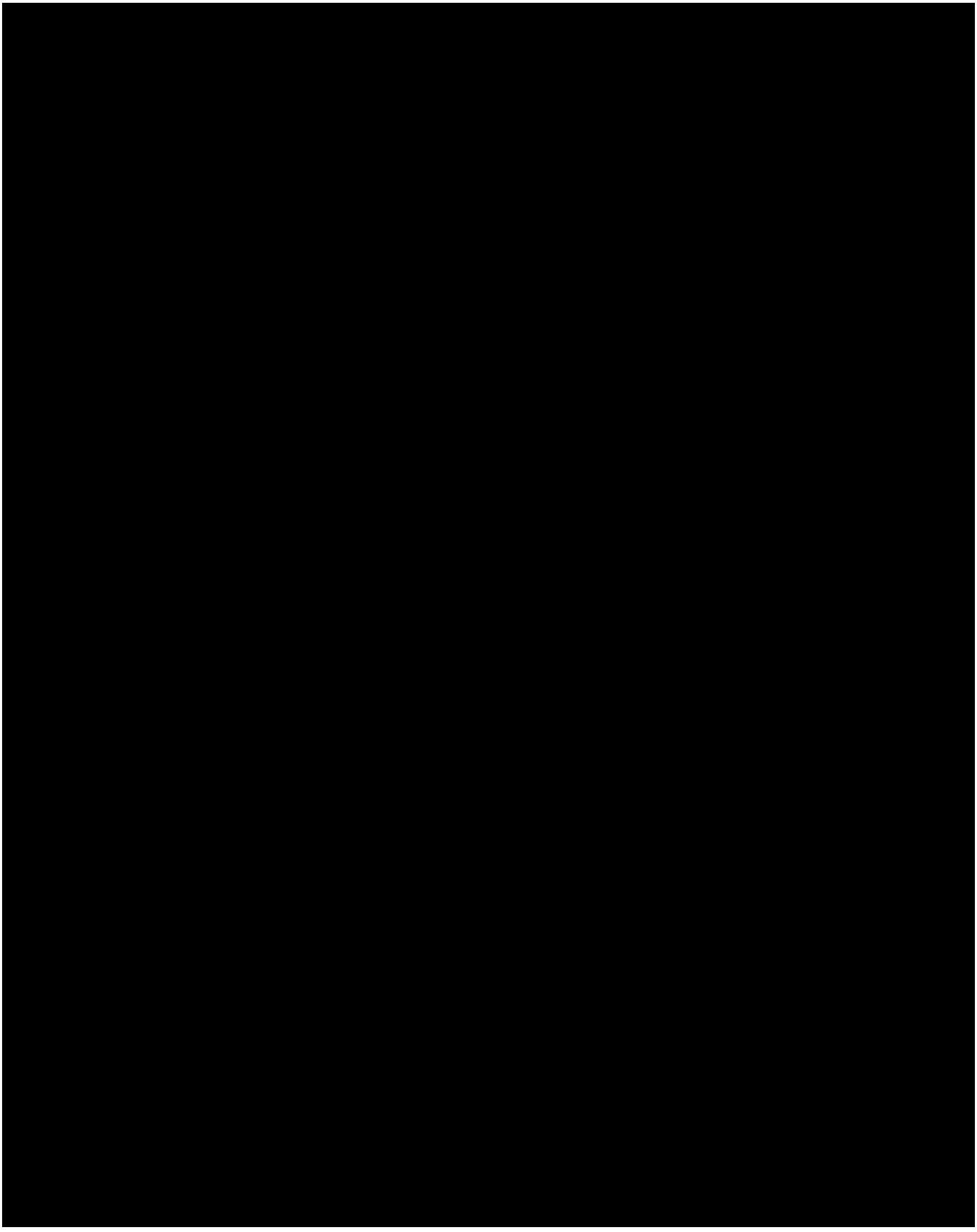

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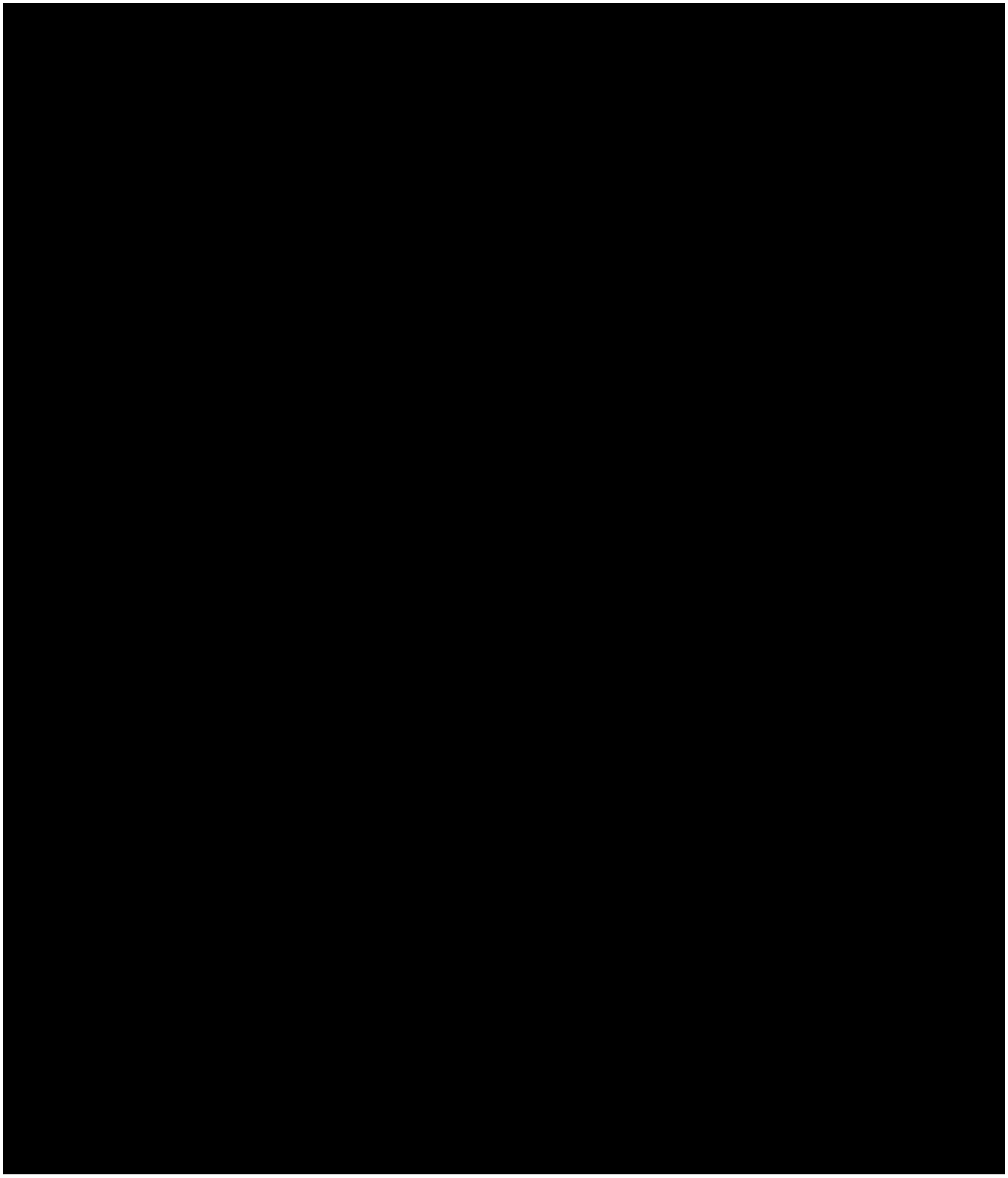

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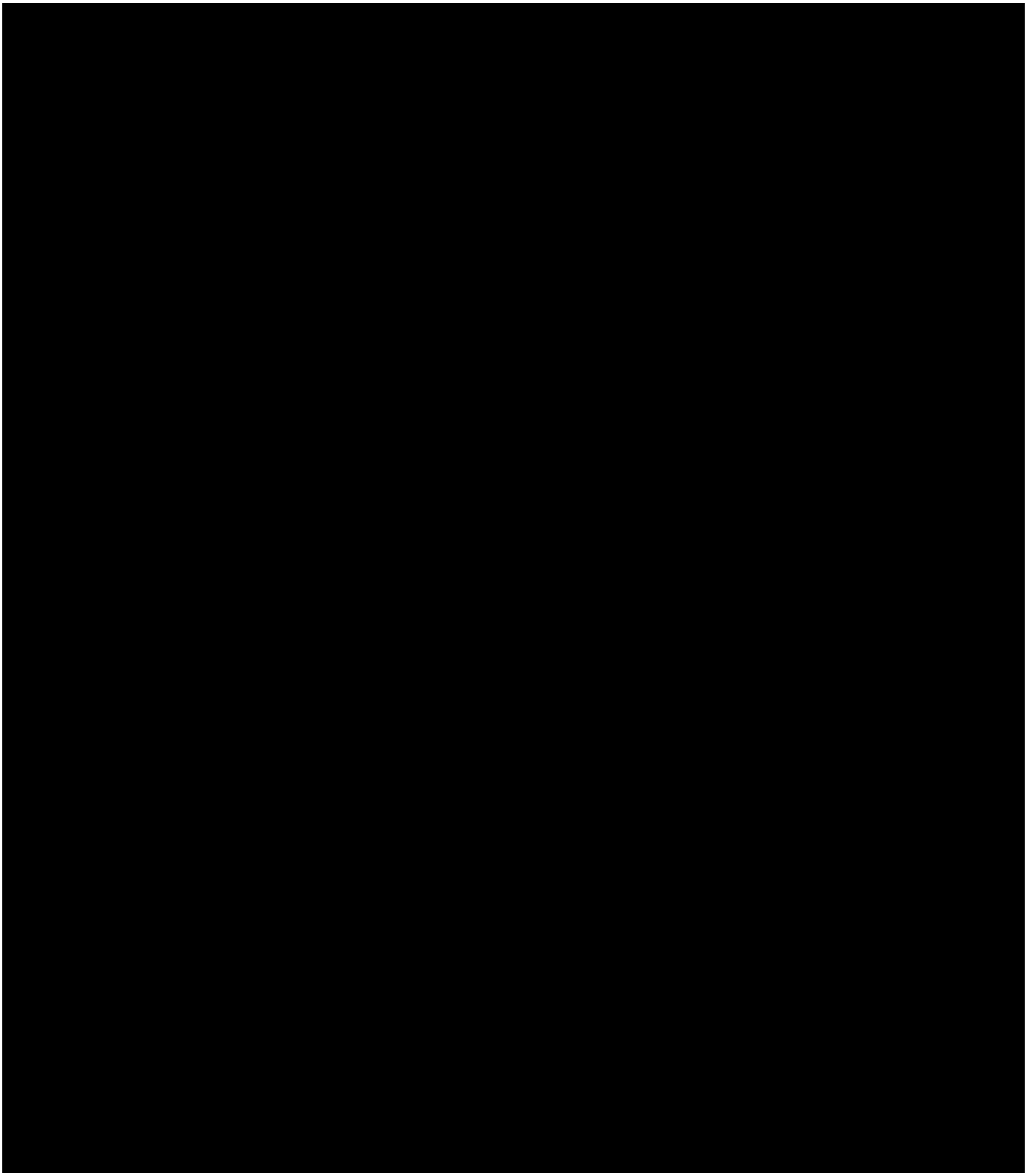

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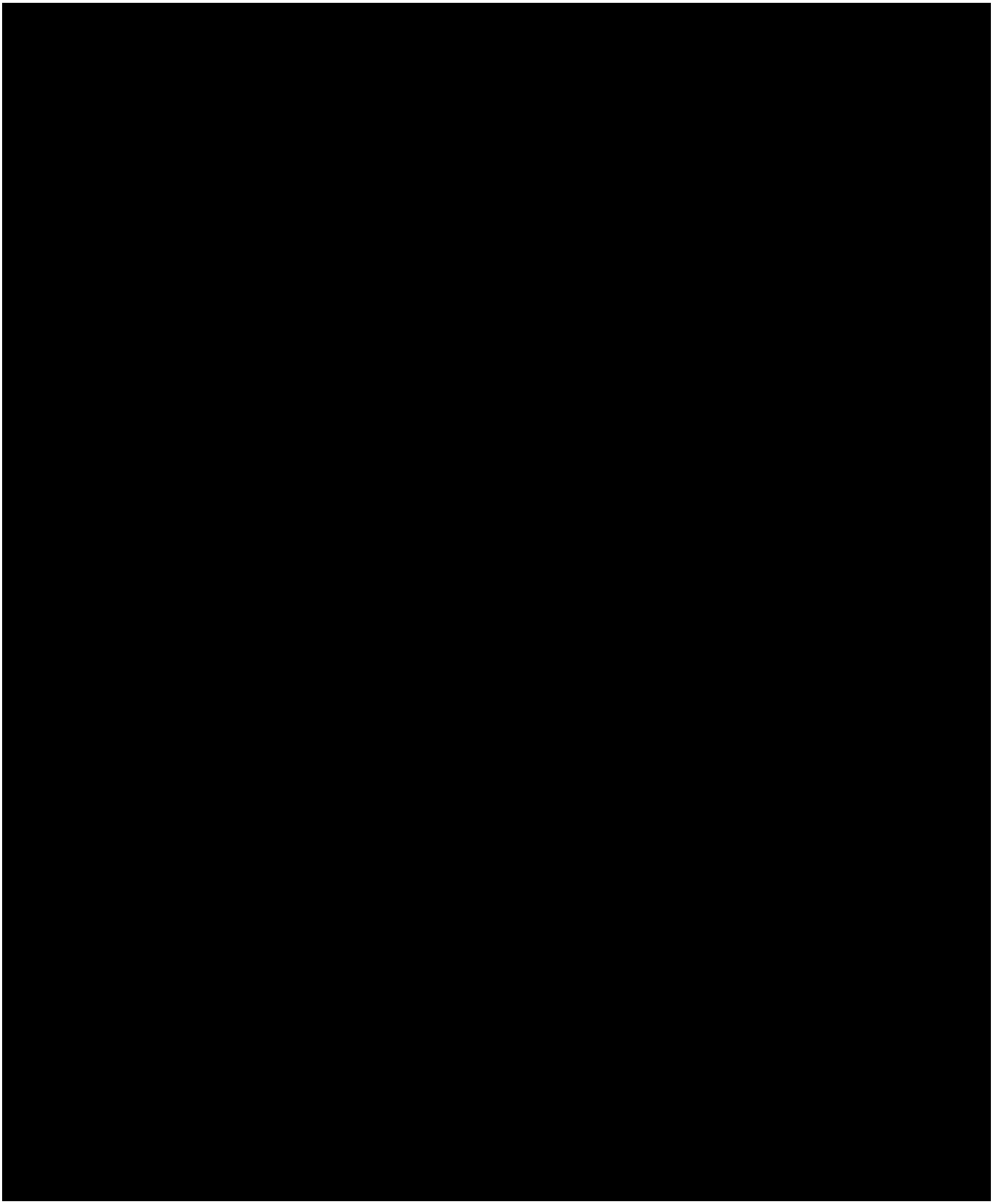

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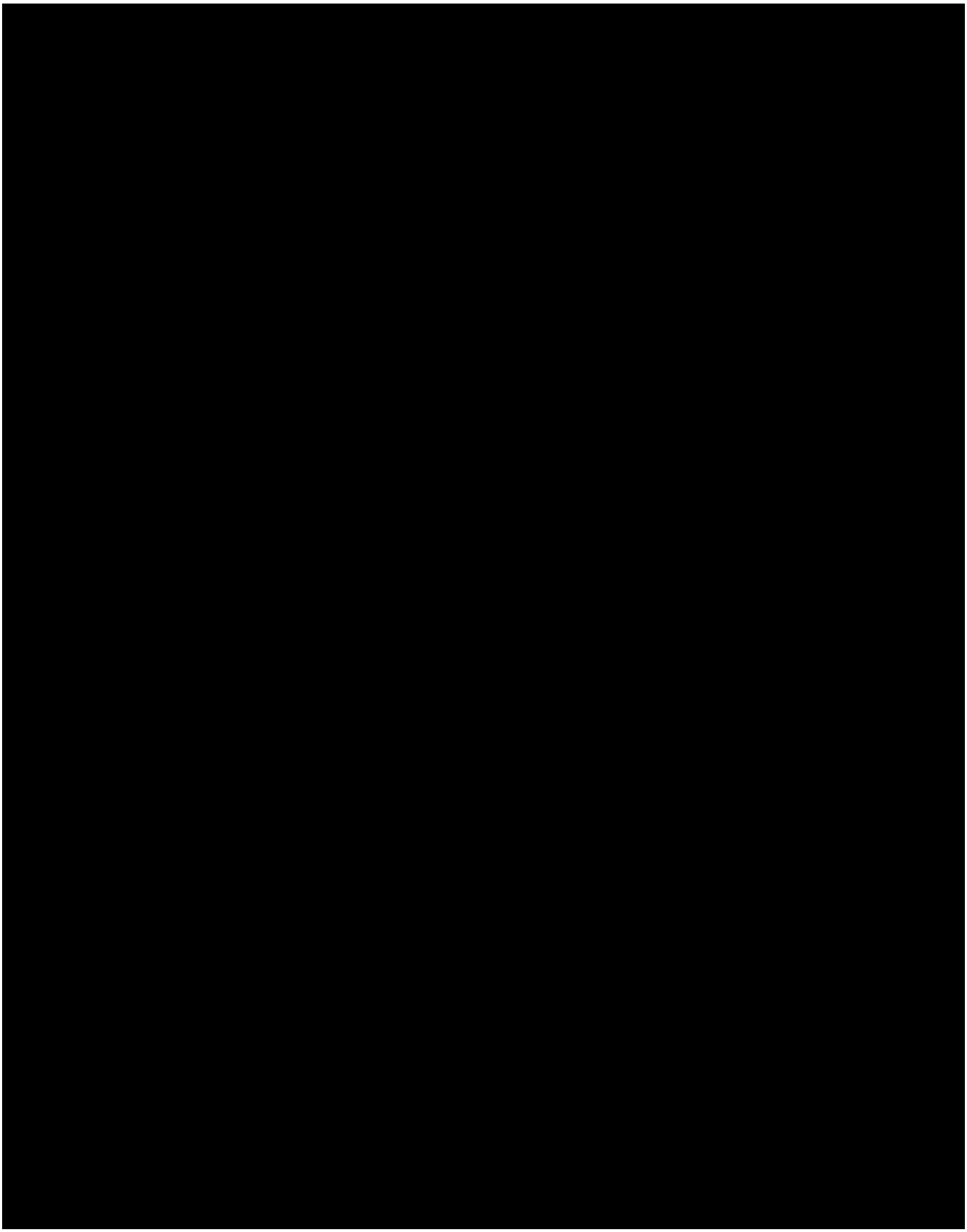

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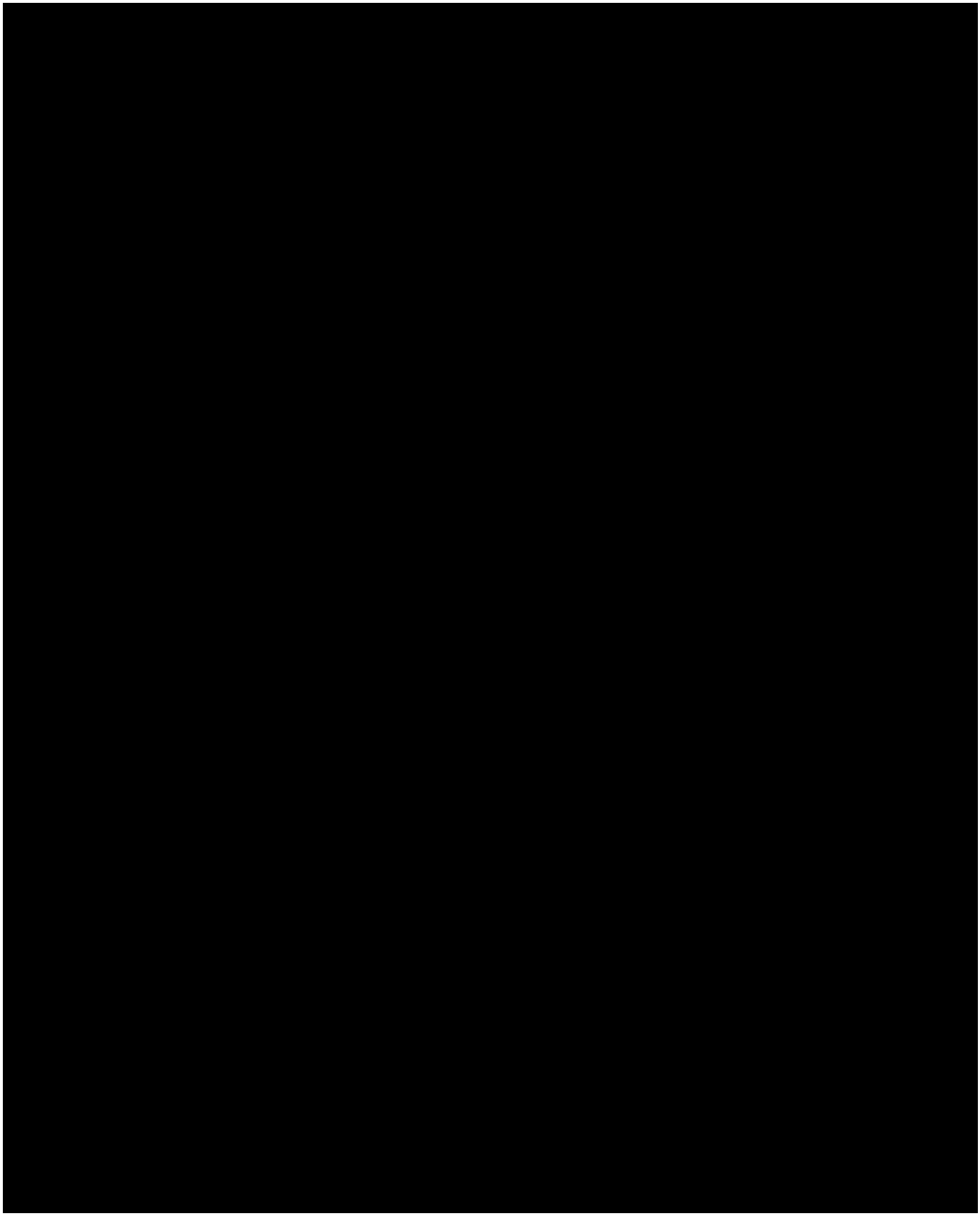

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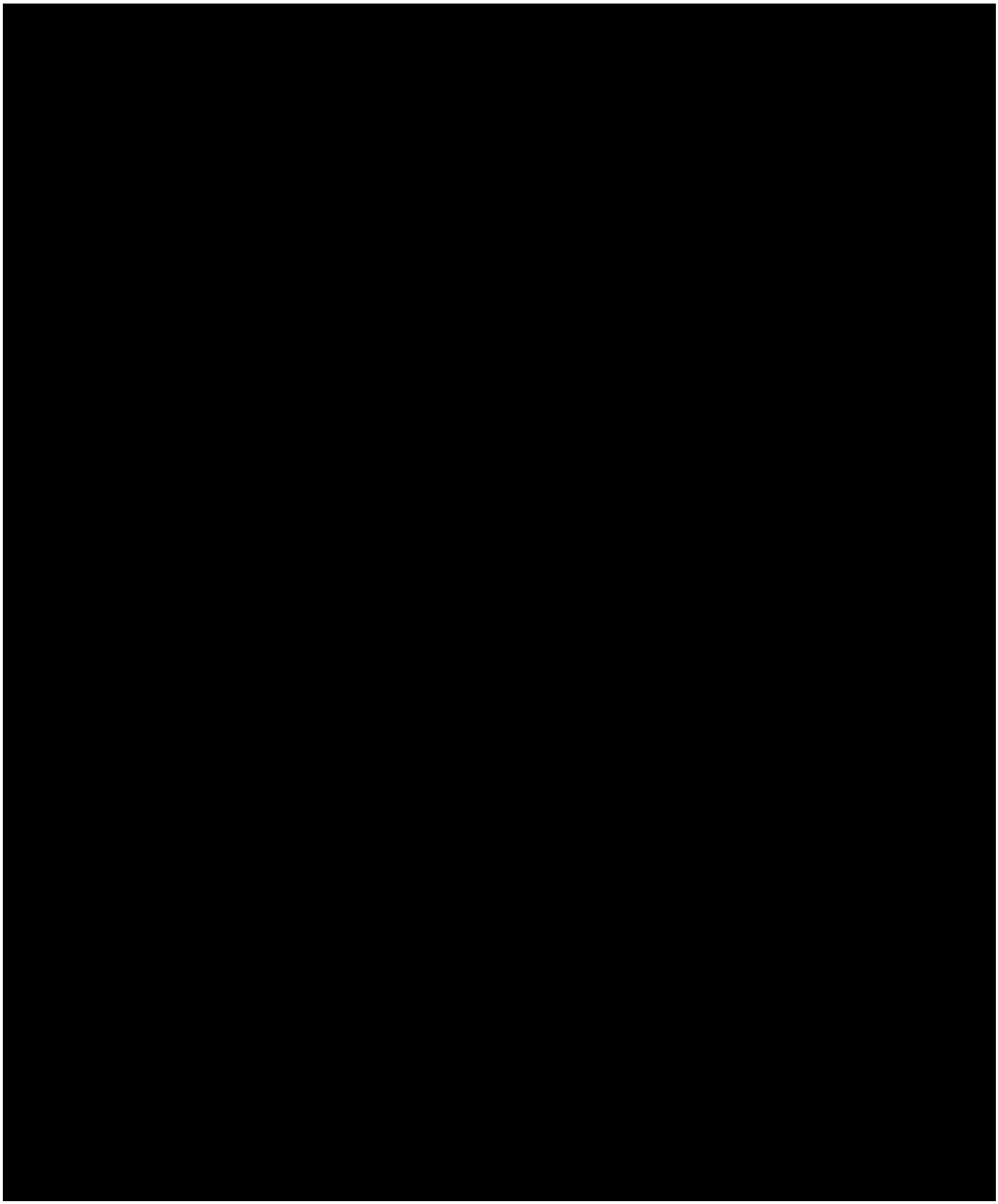

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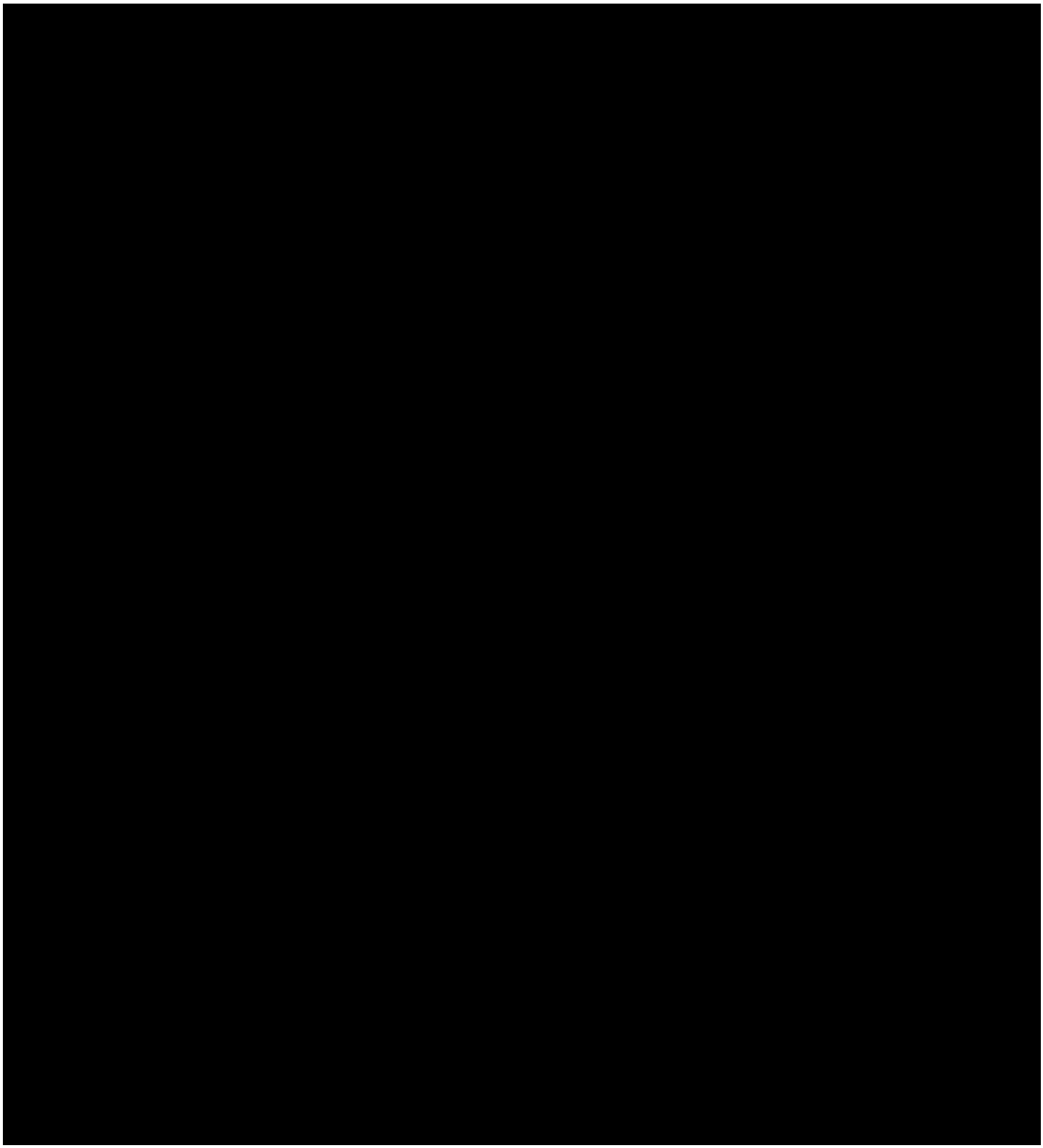

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1.10 Subcontractors (RFP VI A.1.j)

Currently, NTT DATA is not proposing any subcontractor staff as part of this engagement. If we identify that subcontracting is needed or desired, our subcontracting plan will engage subcontractors based on engagement-specific requirements and skill sets. We only engage subcontractors that have a commitment and reputation for excellence and client delivery. We understand Nebraska may have requirements for bringing on state contractors and we will comply with those requirements.

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2 Technical Approach (RFP I P.2, V B-E, VI A.2, Atch A)

MLTC is seeking to modernize and integrate its FFS Medicaid components amid a continuing shift to managed care, while at the same time meeting federal mandates and shifts in funding sources. This diverse portfolio of overlapping projects has its own unique challenges and therefore requires focused IV&V oversight to succeed.

NTT DATA's IV&V services provide a holistic view across projects that is essential to effective MLTC portfolio governance. Our approach to delivering for Nebraska is designed to support portfolio governance by concentrating on project aspects which may have an impact on the entire portfolio such as cross-cutting risks and issues, dependencies, and key decisions.

Figure 22 demonstrates how our consistent approach to MLTC projects will inform governance decisions and provides NTT DATA's unique differentiators to contribute to the success of this broad set of initiatives.

Figure 22. NTT DATA's IV&V Approach and Differentiators

Figure 23 demonstrates NTT DATA's experience-based understanding of the challenges and risks inherent in MLTC's in-flight and planned projects. By proactively understanding the risks and challenges, we will identify areas that require extra focus from our team.

Figure 23. NTT DATA's Understanding of the Special Focus Areas

Project	Key Risks and Challenges	IV&V Special Focus Areas
Electronic Visit Verification (EVV)	• Outcomes-based certification • Stability of the underlying platform • Provider claim submission impediments • HHCS Mandate	• KPI reporting • EVV adoption statistics • New software releases • Disaster recovery • Data quality • Lessons learned for subsequent projects
Interoperability and Patient Access	• Data mapping • Patient Privacy concerns • Foster care/adoption scenarios	• Data management • Security and privacy

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Project	Key Risks and Challenges	IV&V Special Focus Areas
	• Third-party application access • Member identity and authentication • Fast Healthcare Interoperability Resources (FHIR) standards still evolving, as are CMS interoperability rules	• Member education and communication • Solution design review and considerations • Compliance with current rules and standards with an eye towards future regulation and industry trends
Integrated Eligibility and Enrollment/ Benefits Management (IE&E/BM)	• Extraction of business logic stored in legacy system • Data quality • Unique issues involved with identifying families/family members • Cost allocation complexity • Expensive long-term maintenance	• Member experience • Requirements definition • Federal compliance and funding • Master Data Management • FFS integration for member data • IE&E/BM change orders
Point of Sale Drug Claim Processing (POS)	• Vendors pushing aggressive implementation timelines and pressuring clients to make high stakes configuration decisions • Disruption to the rest of the MES • Commercial PBM deliverables not meeting Medicaid needs	• Parallel testing • Deliverable compliance • FFS integration for claims payment • Certification
HITECH to MES Transition	• Securing implementation and maintenance funding • Cost share complexity • Data sharing challenges	• Leverage conditions of Enhanced Funding from other NTT DATA clients tackling HITECH funding transition

Figure 24 provides a graphical view of four key pillars that NTT DATA believes are critical to the successful integration of the in-scope MLTC projects. As with the previous Special Focus Areas table, these pillars show our IV&V team's attention-guiding principles for MLTC project oversight.

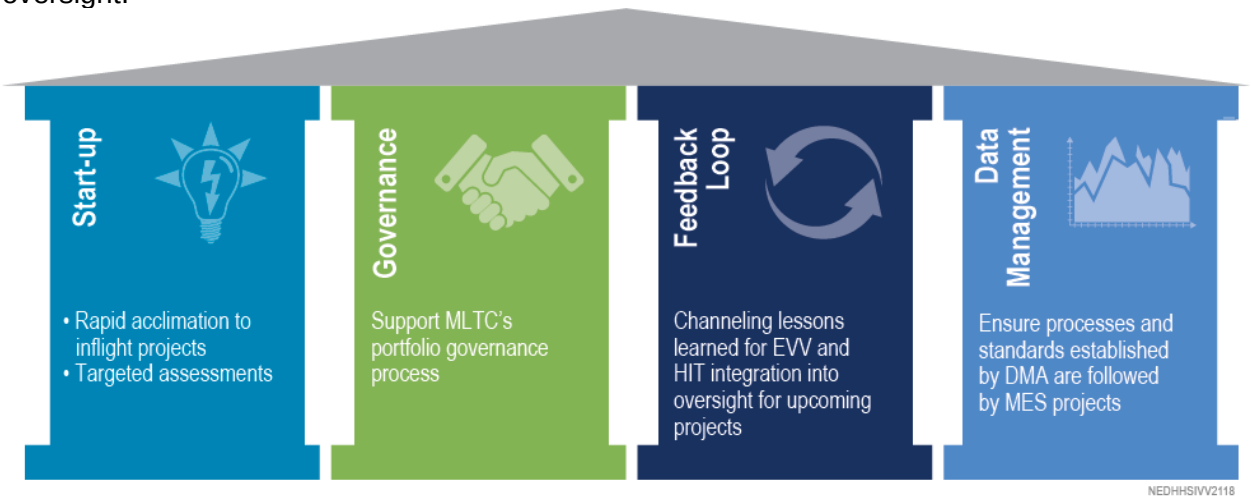

Figure 24. NTT DATA's IV&V Critical Pillars of Success for Nebraska's MES Projects

Our technical approach for the MLTC project is based on NTT DATA's Enterprise Advantage framework. In this framework, IV&V Advantage is one of our eight domain practices. Enterprise

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Advantage is a mature, flexible set of methodologies developed specifically for state HHS clients.

Consisting of the practice areas shown in Figure 25, Enterprise Advantage includes proven methodologies, activities, templates, and tools that reduce project startup time and provide repeatable processes based on federal requirements, industry standards, and best practices. Figure 25 also provides examples showing how NTT DATA's IV&V Services for the MLTC project will be supported by our MES focused management services practices. **This is a key differentiator for NTT DATA over vendors who provide generic IV&V services, without MES-specific supporting disciplines available to their teams.**

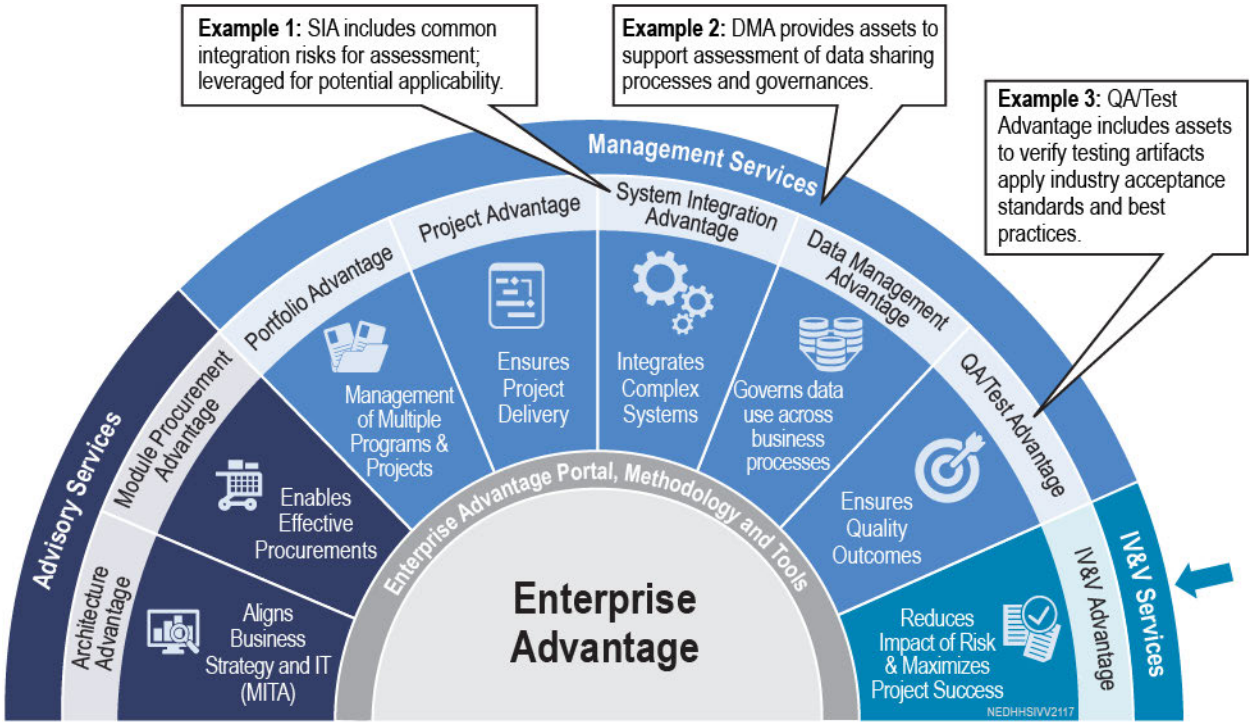

Figure 25. NTT DATA's Enterprise Advantage practices support Nebraska's MLTC project.

Based on more than 30 years of experience performing IV&V services for various state agencies, including enterprise-wide and large-scale IT projects, NTT DATA has deep experience and a keen understanding of the scope of work, technical requirements, and level of effort needed for the MLTC project. For example, NTT DATA has followed Title 45 Code of Federal Regulations (CFR) § 95.626 which sets forth the requirements for IV&V of federally funded software development for public welfare projects, including the review of both the management and technical aspects of projects and the requirement that IV&V must be provided and managed by an organization that is technically and managerially independent of the subject software development project. The federal requirements for IV&V are a subset of the full software IV&V standard defined by IEEE Std 1012-2004. NTT DATA's approach to IV&V takes into consideration that activities included under IV&V engagements vary by agency and program and we bring that expertise and flexibility to DHHS' project.

NTT DATA complies with state and federal requirements for each IV&V engagement we perform under this contract throughout the project lifecycle, we will maintain organizational

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independence and autonomy from the project's organization. In addition, we will represent the interests of both the State and its federal partners and, as such, provide an independent, unbiased perspective on development progress and the integrity and functionality of the entire system.

As one of the nation's leading public sector consulting organizations, we have supported multiple agencies in 49 states in a broad spectrum of systems and project roles. This breadth of experience provides our team with the perspective of a strategic partner always focused on client success. Our IV&V Advantage will set the baseline for the State's IV&V projects using scalable tools, templates, and processes.

IV&V Approach and Methodology

The IV&V Advantage framework is the backbone for the IV&V services which NTT DATA will provide to Nebraska. IV&V Advantage provides customizable tools, templates, and processes that enable our team to work efficiently. Through this framework, we can tailor our services based on the State's interest in accommodating the current and future needs of varying project requirements. IV&V Advantage allows IV&V activities to proceed in a planned and orderly process. Activities are constantly monitored and adjusted to meet evolving project priorities.

IV&V Advantage uses a structured approach that facilitates early detection and correction of errors, variances, and discrepancies. This approach provides clearly documented findings of deficiencies with associated risks and recommendations. We adapt our approach to the project work plan and development lifecycles, assuring stakeholders that reviews are completed at the appropriate time within the development lifecycle.

Figure 26 provides a high-level view of the phases, typical timing, our continuous feedback framework in our IV&V methodology, and how they may apply to Nebraska.

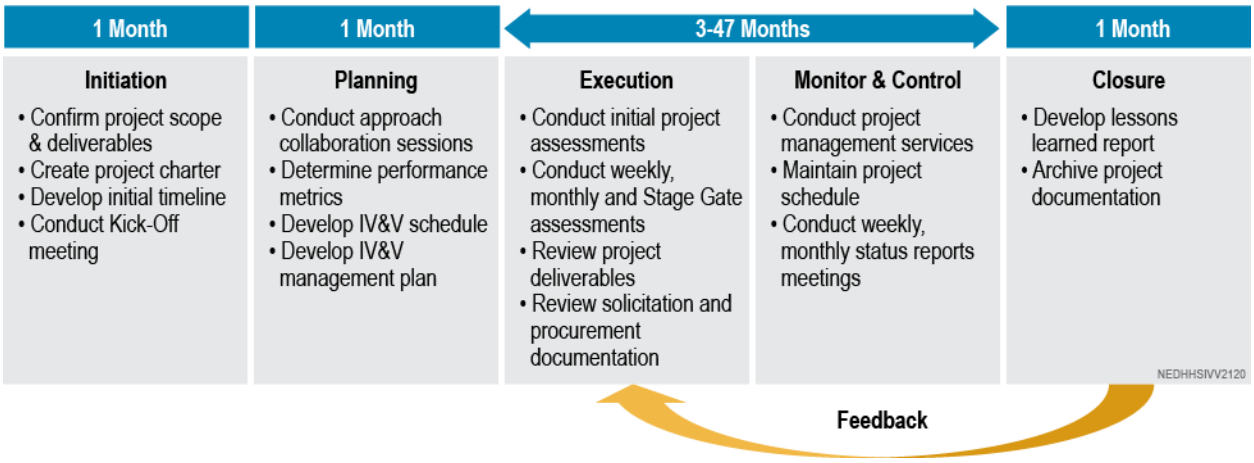

Figure 26. IV&V Advantage Phasing and Continuous Feedback

In our responses found throughout the remainder of this section and in Attachment A, we further describe how our IV&V Advantage framework specifically applies to the MLTC IV&V project.

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2.1 Understanding of the Project Requirements (RFP VI A.2.a)

Our methodology, approach, and staffing support our overall understanding of Nebraska's project requirements. We understand the needs of the individual modules and maintain a combined perspective – or portfolio view – across all modules. Figure 27 provides a high-level view of Nebraska's portfolio of projects, including key activities, deliverables, and considerations that are unique to the individual MLTC projects.

Figure 27. Portfolio Understanding of MLTC IV&V Project

As the State's trusted vendor for IV&V, NTT DATA first and foremost understands our primary role is to assist Nebraska in achieving project success. Throughout the remainder of this section, we discuss our methodology, approach, and experience to support the full portfolio of MLTC projects.

Industry Leader in IV&V and Modular Medicaid Implementations
Through our experience initially as Fox Systems, then Cognosante, and now even stronger with NTT DATA, we have strengthened our methodology to support not only the five projects outlined in this RFP, but also Nebraska's full MES roadmap. We stand ready to support the State's management of their MES IT portfolio through executive level reporting of risks and issues and we will provide strategic recommendations based on lessons learned from our vast

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experience and wide industry participation. Through this process, projects will meet the State's desired outcomes and we will significantly reduce the risk of project failure.

Our IV&V Lead will provide consolidated aggregate reporting across DHHS' MES IT portfolio, focusing on portfolio level risks and issues, cross-module dependencies, and will provide recommendations to respond and mitigate risks based on the complex interdependencies of the multiple concurrent projects. These reports will be effective in supporting agency level decision making and will highlight the items appropriate for executive level response.

We have experience with the CMS Federal Certification process going back to its inception and evolved our certification approach to support our State clients, based on the various advancing methods CMS provided for states to approach certification of MES systems and modules. We are actively supporting SMC with our state clients and the District, including but not limited to, the EVV modules which are being certified under the OBC guidance. Our experienced team will bring this competency to benefit Nebraska.

Under SMC, IV&V's role has changed and we will focus our efforts on supporting MLTC's success with certification efforts, acting as a trusted advisor, by providing recommendations, identifying risks and issues, assessing certification materials, and providing advance feedback to DHHS so submissions and milestone reviews with CMS and MITRE are successful.

We are familiar with the challenges that states face in implementing MES modules working with COTS vendors that are often hosted in a multi-tenant cloud hosted environment. Our IV&V methodology includes tools, tailored to addressing oversight and providing recommendations in support of the approach needed to address requirements, security, certification, and testing under this type of vendor offering.

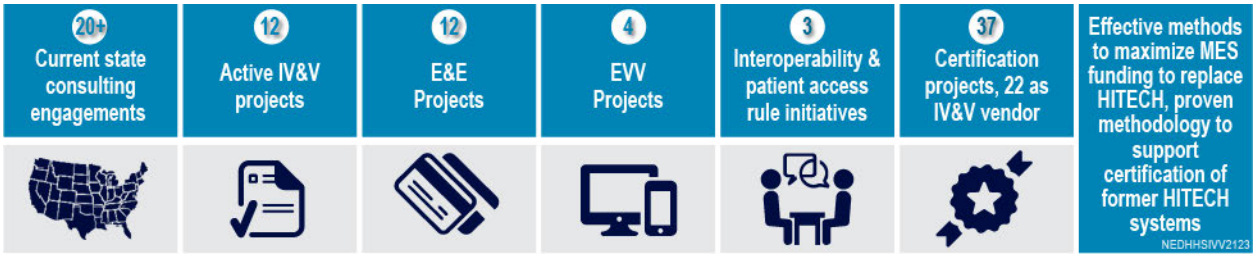

Figure 28. NTT DATA brings extensive MES project experience to the MLTC project.

NTT DATA delivered results for other clients on the specific five project initiatives described in this RFP:

- Eligibility and Benefits Enrollment
- Electronic Visit Verification
- Interoperability and Patient Access Rule
- Point of Sale Drug Claims Processing and Drug Rebate Processing
- HITECH to MES Transition

NTT DATA Benefit

NTT DATA brings experience supporting Elegibility and Benefits Enrollment projects as PMO, IV&V, and other roles across multiple states.

The following subsections highlight our experience, lessons learned, and approaches taken to support other states in successful initiatives within these specific project domain areas.

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Eligibility and Benefits Enrollment Experience
We have recent experience supporting Eligibility and Benefits Enrollment systems as an IV&V, PMO, or Planning vendor in 12 states and territories.

Our proposed team is experienced in certification under the previous MEET and is now supporting clients under the SMC process for Eligibility and Benefits Enrollment systems. We also participated in an OBC pilot for an E&E system for the State of Tennessee.

Our IV&V team is positioned to serve as an advisor to the State under SMC, with tools customized to SMC as described in Section 2.2 including our library of CMS-approved outcome statements for Eligibility and Benefits Enrollments from other state efforts. Figure 29 is a sample of our relevant experience supporting E&E services.

Figure 29. State Eligibility and Benefits Enrollment Projects

Alabama
NTT DATA was selected by the State of Alabama to provide a MITA SS-A and Business Process Re-engineering (BPR). We also supported development of an IAPD, Medicaid E&E Request for Proposals (RFP), and the IV&V RFP for the E&E DDI. The project was successfully completed in 2012. **Relevance to Nebraska's Eligibility and Benefits Enrollment Project.** We will apply our experience developing Alabama's Eligibility and Enrollment RFP and the framework knowledge from developing the RFP for E&E to Nebraska's IV&V services.
Alaska
NTT DATA was selected to complete a Medicaid E&E MITA SS-A. The MITA SS-A supported development of an E&E RFP. The project was successfully completed in 2012. **Relevance to Nebraska's Eligibility and Benefits Enrollment Project.** We will bring relevant MITA SS-A process knowledge to support IV&V oversight of the E&E project.
Arkansas
We have been partnering with the State of Arkansas since 2009 for planning, designing, procuring, managing, and implementing IT systems. Since 2015 our team served as the Arkansas Integrated Eligibility System (ARIES) PMO providing the Arkansas DHS with the structure, discipline, and accountability needed to successfully implement the Deloitte NextGen solution for integrated eligibility. During this engagement our team assisted with the support and oversight of the legacy eligibility systems. We are currently supporting the certification efforts which started as MEET, moved to Streamlined Certification (SLC), and are now proceeding under SMC, with final certification being planned for 2022. **Relevance to Nebraska's Eligibility and Benefits Enrollment Project.** Tools, methodologies, and lessons learned from our E&E PMO experience in Arkansas will be leveraged to support our IV&V services and certification support for Nebraska, including experience with gate reviews involving FNS and other agencies in addition to CMS E&E SMC certification experience.
Illinois
NTT DATA was selected by the State of Illinois to serve as the PMO for Illinois' Department of Innovation and Technology (DoIT) Technical Refresh project to update their software defined data center (SDDC). This data center houses the IES and the Application for Benefits Eligibility (ABE) system for the Healthcare and Family Services (HFS) and DHS agencies within the state. The project will enhance the IES M&O capabilities by improving system performance, increasing the number of environments for testing, and allowing for easier maintenance. Our period of performance is May 2021 through April 2023. **Relevance to Nebraska's Eligibility and Benefits Enrollment Project.** Tools, methodologies, and lessons learned from our E&E PMO experience in Illinois will be leveraged to support our IV&V services.

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Iowa
NTT DATA was selected by the State of Iowa to provide development of the Medicaid E&E RFP. The project was successfully completed in 2012. **Relevance to Nebraska's Eligibility and Benefits Enrollment Project.** Planning/procurement and detailed contract requirement knowledge gained through the Iowa RFP effort will be applied to supporting IV&V services.
New Hampshire
Since 2013, we have been supporting the IES project in partnership with the State of New Hampshire as their IV&V vendor. IES supports a variety of programs, such as Medicaid and Medicare Savings Program, SNAP, TANF, Long Term Care, Child Care Scholarships, State Supplemental Programs, and NH EASY, which is a client-self-service web portal and mobile app. Our primary role in this project is to verify and validate New HEIGHTS Medicaid-related processes and products for conformance with CMS guidelines published in the MITA 3.0 and checklist items published as part of the CMS MEET. **Relevance to Nebraska's Eligibility and Benefits Enrollment Project.** IV&V tools and methods developed specific to eligibility and benefits enrollment in the IV&V support for New Hampshire as well as lessons learned will be leveraged by our team in support of Nebraska's effort.
Oklahoma
NTT DATA was selected by the State of Oklahoma to support development of a statement of work and to conduct PMO support for the Medicaid E&E ACA system implementation. We also provided PMO and IV&V services for the project that was successfully completed in 2014. **Relevance to Nebraska's Eligibility and Benefits Enrollment Project.** Through our role in supporting ACA changes to the eligibility system in Oklahoma, we developed project management and testing oversight tools specific to ADA compatibility of eligibility and benefits enrollment systems that will be leveraged to support Nebraska's project.
Tennessee
We have been assisting with managing, planning, designing, monitoring, tracking, and reporting the progress of TennCare's Medicaid Enterprise System including the TennCare Management Information System (TCMIS), the TennCare Eligibility Determination System (TEDS), and HITECH systems since 2000. In 2006, NTT DATA supported DHS with business analyst and consultants in the planning, design, and development of the Vision Integrated Platform (VIP) Integrated Eligibility System. Currently, we are providing IV&V for the MMIS Transformation project which will transform TennCare's existing MMIS into multiple interoperable modules. Throughout our projects, we worked with multiple vendors including the State, Deloitte, and Public Consulting Group, Inc. (PCG). **Relevance to Nebraska's Eligibility and Benefits Enrollment Project.** We have recent certification experience from Tennessee's OBC pilot for E&E with CMS and have many lessons learned and tools for conducting effective IV&V for Nebraska, based on our longstanding efforts supporting Tennessee.
Puerto Rico
We were engaged with the Government of Puerto Rico Department of Health for their E&E project from 2017 through 2020. Our team supported the planning phase for the E&E project and has continued to provide IV&V services as the project has progressed into the current DDI phase. This is an integration of Medicaid and Children's Health Insurance Program (CHIP) programs. **Relevance to Nebraska's Eligibility and Benefits Enrollment Project.** IV&V tools and methods developed specific to eligibility and benefits enrollment in the IV&V support for Puerto Rico, as well as lessons learned, will be leveraged by our team in support of Nebraska's effort.
Georgia
From June 2018 to January 2019, we served as the IV&V vendor for the Georgia Gateway IES IV&V MEET Operational Review project which supported multiple programs. Our oversight on this project incorporated several programs in the IES including Medicaid, TANF, SNAP, WIC, and Childcare. The IV&V review included the six MEET checklists and associated artifacts and evidence. As an independent reviewer, we confirmed all operational conditions were in accordance with CMS guidelines and federal

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regulations. Our team worked with Georgia DHS and Deloitte to support them through the CMS and MITRE Corporation on-site presentation. The final CR with CMS and MITRE was held October 27, 2021.

Relevance to Nebraska's Eligibility and Benefits Enrollment Project. Our team will apply their experience from the Georgia Gateway IES project MEET certification effort to the eligibility certification process for Nebraska's system.

New Mexico

New Mexico's Human Services Department (HSD) ASPEN project was initiated to replace its 23-year-old legacy system, Integrated Service Delivery 2 (ISD2). ISD2 supported eligibility determination and benefit issuance for TANF, SNAP, Low-Income Home Energy Assistance Program (LIHEAP), and over 30 categories of Medicaid. Deloitte was selected as the system integrator and NTT DATA was selected as the IV&V vendor to provide oversight of Deloitte's performance from requirements development, design, testing, and training to implementation. Our period of performance was from September 2011 through June 2014.

Relevance to Nebraska's Eligibility and Benefits Enrollment Project. Our team will apply their experience from this New Mexico eligibility system effort including experience integrating various non-Medicaid programs under different federal oversight.

Vermont

NTT DATA was selected by the State of Vermont to serve as a Technical Assistance Vendor over a 5-year period extending through 2025. As part of this scope of work, NTT DATA was requested to perform a detailed assessment of the State's Integrated Eligibility and Enrollment (IE&E) System. The purpose of this assessment activity was to provide the necessary information for NTT DATA to develop and deliver a System Integration Gap Analysis and a detailed 7-9-year Roadmap that addresses replacement of the current legacy IE&E System. These documents provide the framework and guidance needed for the Department of Vermont Health Access (DVHA) and the Vermont Department of Children and Families (DCF) to successfully procure and execute the next phase of IE&E modernization efforts.

Relevance to Nebraska's Eligibility and Benefits Enrollment Project. Our team will leverage various eligibility system business and technical gap analysis frameworks to our IV&V approach to support Nebraska as well as our experience with reviewing roadmaps.

Electronic Visit Verification

We bring extensive experience providing IV&V and PMO services supporting EVV in six states and the District. This includes IV&V services performed in Georgia with the Netsmart/Tellus EVV solution. NTT DATA also facilitates a monthly State EVV Networking group with 21 states, districts, and territory participants. This forum is available for the State to participate in. We have a working familiarity with the OBC certification process for EVV including the required intake evidence required, KPI reporting requirements, and OBC process.

We developed an effective IV&V oversight approach specific to EVV. This approach includes monitoring of EVV system registration and adoption metrics for trends and providing recommendations to address root causes of gaps identified as a result of data trends. This supports State decision making based on the progress in bringing provider agencies and caregivers onto the system. NTT DATA will monitor third-party EVV systems integration if an open model is employed in addition to the State EVV system. We will closely monitor for risks of impact to self-directed member populations.

The Tellus/Netsmart EVV solution acts as a claims billing agent, which requires support for linkage of replacement claims to original claims if providing the providers access to claims payment data and claims correction capabilities within the EVV web portal. Claim adjustments and voids are challenges in other states. We are also familiar with issues with cost share/patient liability, rounding rules impacting time units, and numerous other common challenges which can

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occur with this specific solution. Our understanding of the Tellus/Netsmart solution will enhance our ability to identify potential risks and to develop effective mitigation strategies based on our recent experience with Georgia's EVV implementation.

We will closely monitor alternate third-party integration status if Nebraska chooses to implement an open vendor model with a data aggregator in addition to offering the State EVV system.

Figure 30 lists the States where we have experience supporting EVV projects for state clients.

Figure 30. NTT DATA EVV Engagements

Alabama
NTT DATA has been providing PMO services for the Alabama Medicaid Agency's (AMA) Modular EVV implementation since March 2021 to meet compliance with the 21st Century Cures Act. NTT DATA PMO services collaborated with the Alabama Medicaid Agency to successfully procure an EVV vendor by providing answers to vendor questions, recommendations for contractual language, gap analysis, and IAPD updates to CMS. Also, NTT DATA PMO services implemented extensive project management methodologies for the EVV vendor to adhere to for the preparation of a more controlled modularity approach across vendors. NTT DATA PMO services continues to provide the following for the AMA Modular EVV project to meet the planned go-live of February 2022: • Collaboration with AMA state operating agencies including their vendors and the procured vendor so that risks, issues, action items and decisions are logged and tracked and all items that can impact the success of the project are mitigated for minimal to no impact. • Reviewing and providing recommendation on over 20 project deliverables to overcome the project challenges pertaining to the procured vendor's experience in developing project deliverables. • Collaboration with AMA state operating agencies including their vendors and procured vendor to verify there is no gap between the contractual requirements and business functionality and the vendor's solution. • Providing oversight of all provider communications, interface discussions, testing, and training. The PMO services efforts directly support the timely and successful implementation of the AMA Modular EVV project. **Relevance to Nebraska's EVV project.** Our team will leverage tools and lessons learned from our PMO and certification support experience supporting Alabama in providing IV&V oversight to Nebraska's EVV implementation. Our team can assist from day one in proactively identifying risks based on past EVV projects.
Arkansas
NTT DATA has been providing RFP, DDI, and operational support to the Arkansas DHS EVV efforts to meet compliance with the 21st Century Cures Act since 2018. We provided project management support and oversight of the chosen EVV vendor (Fiserv) from start-up through implementation. During the development effort, NTT DATA assisted in coordination of project training and communications to external vendors. We also coordinated and conducted UAT. In preparation for system go-live, we provided guidance and oversight of the CMS OBC based ORR, completed in November 2020. The system went live in December 2020. Since go-live, NTT DATA has been providing oversight of application defects and project enhancements along with coordination of quarterly CMS KPI reporting. In addition to project oversight, NTT DATA also provides organizational change management (OCM) activities for EVV. The EVV support for AR DHS is a great example of how NTT DATA has created a strong partnership with the State to manage projects from inception through operations. **Relevance to Nebraska's EVV project.** Our team will leverage tools and lessons learned from our

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PMO and certification support experience supporting Arkansas in providing IV&V oversight to Nebraska's EVV implementation.

District of Columbia

In Fall of 2019, the District of Columbia DHCF selected Sandata Technologies to design, develop, and implement their EVV system in its entirety. This provides a "hybrid" EVV system which allows the District to contract with a single EVV contractor, allows Providers to utilize their own EVV system when applicable, and includes an aggregator capacity that provides comprehensive oversight of the entire EVV program. The system was implemented on December 7, 2020. The DC DHCF EVV PCS system met the federal compliance deadline of January 1, 2021. In April 2021, the EVV PCS system certification efforts began, and NTT DATA's IV&V team provided oversight services for DHCF throughout the required CMS OBC efforts, including attending certification meetings and conducting in-depth assessments of the DHCF EVV KPI Reports for Q1 and Q2 prior to submittal to CMS on June 30, 2021 and September 27, 2021, respectfully, providing key feedback and recommendations. The DHCF EVV Certification Review with CMS is scheduled for November 4, 2021 and NTT DATA, as the IV&V for the District, will support the client in the certification meetings

NTT DATA's IV&V team provided IV&V management oversight services to DHCF throughout the entire EVV PCS DDI, including attending EVV project meetings, identifying, documenting, and tracking project risks, and conducting in-depth assessments of all DDI vendor deliverables to validate compliance with federal and District requirements. IV&V deliverables include weekly project status reports and schedule updates, monthly IV&V reports, and quarterly quality assurance oversight reports. On a monthly basis, NTT DATA's IV&V team conducts a meeting with the CMS District State Officer focused on risks and progress. On a quarterly basis, NTT DATA's IV&V team facilitates an IV&V Updates Presentation with the DHCF Director, Medicaid Director, and Chief of Staff focused on project risks and progress.

In October 2021, DHCF and Sandata conducted an EVV Module Project planning session for the Home Health Care Services (HHCS) system, which has a federal compliance deadline of January 1, 2023. NTT DATA's IV&V team will continue to provide oversight services to DHCF throughout the HHCS DDI and certification efforts.

Relevance to Nebraska's EVV project. Our EVV IV&V project oversight experience in D.C., including support for the certification under MECT and later shifting to OBC, and through all project phases brings opportunity to leverage successful approaches for identifying risks and issues based on lessons learned to support Nebraska's EVV implementation.

Georgia

We have been providing IV&V services for the Georgia Department of Community Health's (DCH) EVV implementation since 2018. Georgia procured and implemented a Netsmart/Tellus EVV system. We provided IV&V support for an R1 MECT certification review in June 2019 prior to a shift to OBC. Certification support continued under OBC where we supported the ORR in March 2021 and the preparation for the CR in October 2021. Georgia's EVV project is a great example of how an agency project team can use IV&V input to support a project more effectively by elevating overall quality and responding to risks and issues as they are detected. Project challenges were overcome as over 60 deliverables for a COTS implementation were submitted to the State by the solution vendor without a vendor gap analysis against State-contract requirements. Over a 5-month period, our IV&V team reviewed and provided corrective feedback on the vendor deliverables to align them with contract requirements. This included a detailed review of the requirements traceability matrix, which our staff (along with the State EVV business owner) reviewed to bring all requirements to full acceptance in accordance with the project timeline and acceptable quality standards for the project.

These efforts supported the DCH project team in a successful recovery effort and raised confidence in the quality of project deliverables provided by the solution vendor. Ultimately, successful recovery efforts enabled the EVV system to go live within the planned project timeframe with a phased approach, focusing first on compliance with the 21st Century Cures Act. This allowed DCH to avoid federal medical assistance percentage (FMAP) reduction penalties beyond the first quarter of calendar year 2021 after facing significant challenges, including unavoidable contract and procurement delays and the impact of

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the pandemic. **Relevance to Nebraska's EVV project.** In addition to applying lessons learned and effective oversight tools from our IV&V support of Georgia's EVV implementation, from the planning and procurement phase through to full operations, we will also bring a number of IV&V deliverable assessment tools that we specifically incorporated into our methodology to support the Nebraska EVV effort.
Nevada
After our IV&V services support role for the successful MMIS project, our team remained engaged to support the Agency's EVV project as IV&V started in 2019. NTT DATA's IV&V team participated in project meetings with the vendor and State PMOs, Fiserv, and CMS. Our IV&V team provided technical counsel and certification support in an advisory role. Nevada did a soft EVV go-live in October 2019 and NTT DATA's IV&V team assisted in reviewing materials for the OBC certification. **Relevance to Nebraska's EVV project:** Our team will bring our experience regarding implementation challenges and lessons learned as well as identified best practices and OBC certification approaches specific to supporting EVV to assist Nebraska in their effort.
South Carolina
For South Carolina's EVV implementation, NTT DATA is engaged in project management support of the Department's EVV system integration into the SC Medicaid Enterprise. NTT DATA provides focused project management and leadership support in the areas of testing, training, and organizational change management, as well as a team of business analysts to support requirements management, traceability of requirements through test validation, user story identification, test case development, test execution, and defect resolution. **Relevance to Nebraska's EVV project:** Our team will bring our experience regarding testing best practices, implementation challenges and OBC certification approaches specific to supporting EVV to assist Nebraska in their effort.
Tennessee
NTT DATA attended EVV workstream sessions in 2021 as part of Tennessee's Department of Intellectual and Developmental Disabilities (DIDD) implementation of Therap system. Through attending these sessions, NTT DATA developed a high level understanding of how EVV will be managed through the Therap system and worked with the DIDD subject matter experts to develop Tennessee's "to be" flow for EVV business models. **Relevance to Nebraska's EVV project:** Our EVV experience in Tennessee produced business model methods specific to addressing enhancements to EVV outcome statements and objectives which have been incorporated into our IV&V methodology and will be used to provide support to Nebraska's effort.

We will bring our EVV experience and lessons learned to benefit MLTC's EVV implementation and certification effort.

Interoperability and Patient Access Rule

NTT DATA supports our clients in meeting the Final Interoperability and Patient Access Rule (CMS-9115-F) requirement as set forth in the standards and conditions for Medicaid IT listed in 42 CFR Part 433.112(b) required to secure enhanced funding, supporting integration and open standards between human services, public health, and federal systems. Such integrations not only meet the federal requirements, but also allow for a greater correlation of data to support enhanced experience for Medicaid members and visibility into data trends, driving towards maturity in understanding data from a Population Health perspective.

MLTC will benefit from our experience with other state clients and our independence in the IV&V role, enabling us to make sure vendors and managed care organizations meet the regulatory requirements of the rule, and that the open standards are being effectively implemented.

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Interoperability and Patient Access Rule

Experience and Benefits to MLTC:

- Experience with Arkansas, Maryland and Florida
- Networking forum currently consisting of 15 states
- Interoperability Advisory Team

Projects where we provided support for the planning, procurement, and implementation of Interoperability solutions compliant with CMS-9115-F, utilizing FHIR Application Programming Interfaces (APIs), and Mobile Data Platforms (MDPs) for our state clients include: Arkansas, where we developed the APD to receive funding and provided project management and testing support; Maryland, where we are advising and supporting Interoperability planning; and Florida, where we are also providing IV&V oversight for an Interoperability and Patient Access Rule implementation.

NTT DATA facilitates a networking forum for states to share knowledge and perspective on Medicaid Interoperability and Cloud Migration projects. With CMS Interoperability regulation and industry trends driving both healthcare interoperability and cloud hosting. This forum provides informal, collaborative discussion for states to share status, solutions, lessons learned, and best practices on these topics. The group formed in July 2020 and the roster includes participants from 15 states and the District. Participation in the state forum is available to the State.

NTT DATA also has an Interoperability Advisory Team to support and collaborate with our State Interoperability Advisory engagements, creating artifacts to assist with advisory, and tracking industry trends and upcoming regulation. This group addresses topics such as patient privacy considerations, security risks, and delegate access, as well as evaluating the strengths and weaknesses of the different approaches available in the marketplace and how those can align with State strategies. The IV&V team serving MLTC will have direct participation in the Interoperability Advisory Team which will benefit the project as our team will be fully informed of the latest developments.

Point of Sale Drug Claims Processing and Drug Rebate Processing

Pharmacy POS Claim processing and Medicaid Drug Rebate administration are complex aspects of state Medicaid operations. NTT DATA has significant experience with POS and rebate system conversions along with expertise in APD development and CMS systems certifications; our experience includes projects in Arkansas, Delaware, Illinois, Indiana, and Tennessee. This experience includes most PBM venders and MMIS environments along with our in-depth knowledge of CMS requirements and industry best practices.

Our experience allows us to provide states with comprehensive support and the ability to be proactive on everything from project planning, vender onboarding, data conversions, validation, testing, reporting, and post implementation stabilization. Our experienced staff can assist states with enhancing their reimbursement strategies, Preferred Drug Lists (PDLs), Pharmacy and Therapeutics (P&T) processes, clinical criteria, and POS edits for optimal trend management and risk avoidance. We can also assist states with integration of medical claim data into the pharmacy program with the goals of creating advanced prior authorization capabilities and expanding the rebate claim pool. Additionally, we have experience managing 340B entities, pharmacy program integrity, avoiding spread-price misuse and creating disruption analysis with targeted member and provider communications.

Our IV&V recommendations will include specific recommendations to utilize technology, apply optimal systems, and methodologies that support the State and stakeholder objectives. We are committed to assisting our state clients in the delivery of high quality and cost-effective programs by leveraging our SMEs in pharmacy to help create individualized solutions.

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HITECH to MES Transition

Based on Nebraska's HITECH projects including the HIEs integrated by Nebraska Health Information Initiative (NeHII), and Electronic Behavioral Health Information Network (eBHIN), as well as the Nebraska Prescription Drug Monitoring Program (PDMP) tool, we will work to maximize the funding through integration to the MES system and supporting APDs and SMC processes. With HITECH funding ending in September 2021, the HIEs will need to be certified and cost allocated for the Medicaid portion.

MES strategy should consider maximizing Medicaid funding for former HITECH initiatives. MES would benefit from the integration of additional data sources and other opportunities such as Interoperability initiatives, All Payers All Claims (APAC) database, and/or Medicaid reporting from the HIEs.

We have developed a mechanism to determine how to maximize funding through the APD and SMC certification process based on the State's unique HITECH funded initiatives. This mechanism includes an approach with defined responses to Conditions of Enhanced Funding (CEF) to support MES certification for former HITECH initiatives under the SMC process. We will advise the State on effective responses as shown in Figure 31.

In addition to our library of CEF OBC materials, we also have a library of State-specific outcome statements and metrics to support certification efforts for the HITECH to MES transition which we can leverage in advising Nebraska (see Figure 32).

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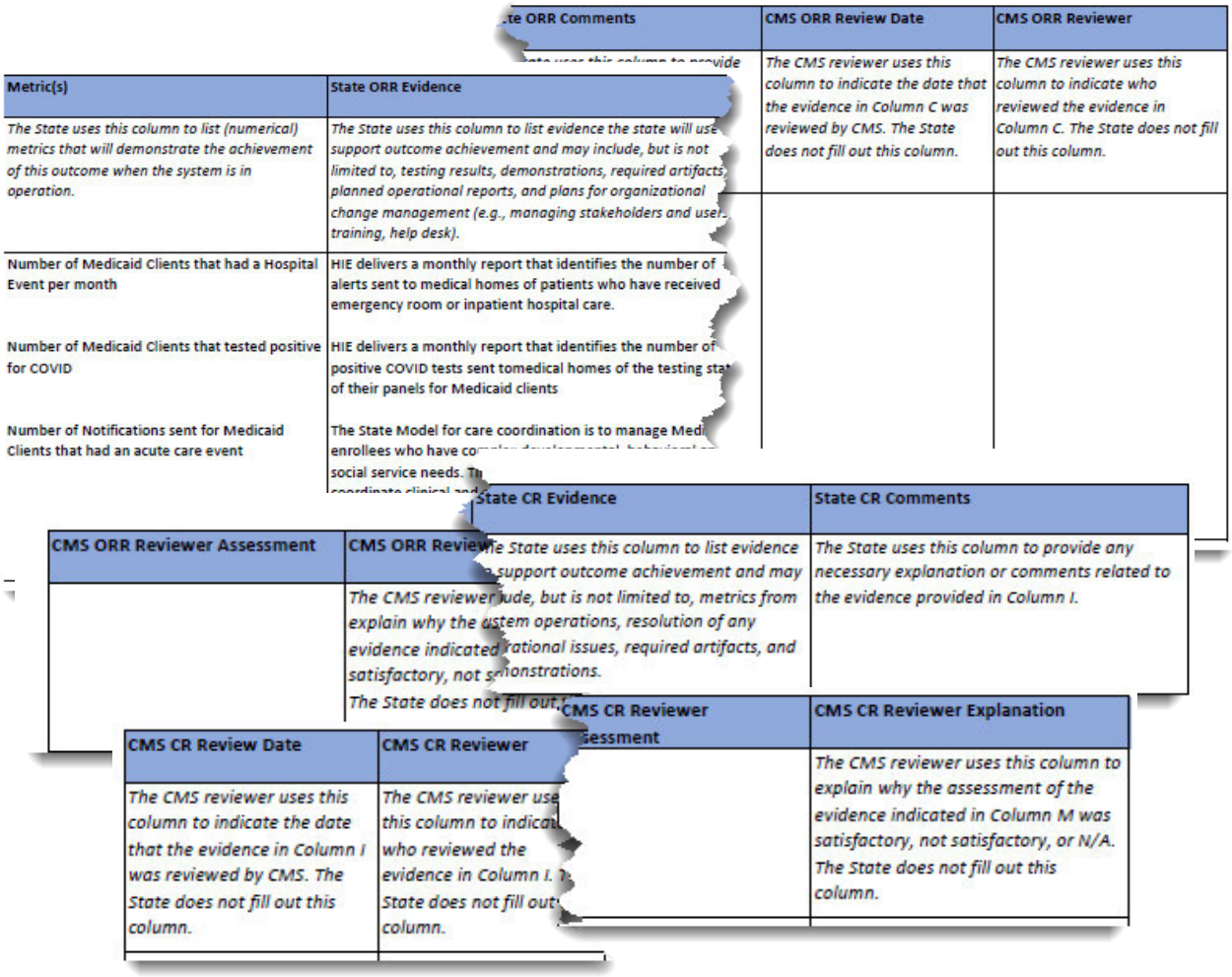

Metric(s)	State ORR Evidence	te ORR Comments	CMS ORR Review Date	CMS ORR Reviewer
The State uses this column to list (numerical) metrics that will demonstrate the achievement of this outcome when the system is in operation.	*The State uses this column to list evidence the state will use to support outcome achievement and may include, but is not limited to, testing results, demonstrations, required artifacts, planned operational reports, and plans for organizational change management (e.g., managing stakeholders and user training, help desk).*	*ate uses this column to provide*	*The CMS reviewer uses this column to indicate the date that the evidence in Column C was reviewed by CMS. The State does not fill out this column.*	*The CMS reviewer uses this column to indicate who reviewed the evidence in Column C. The State does not fill out this column.*
Number of Medicaid Clients that had a Hospital Event per month	HIE delivers a monthly report that identifies the number of alerts sent to medical homes of patients who have received emergency room or inpatient hospital care.			
Number of Medicaid Clients that tested positive for COVID	HIE delivers a monthly report that identifies the number of positive COVID tests sent tomedical homes of the testing sta of their panels for Medicaid clients			
Number of Notifications sent for Medicaid Clients that had an acute care event	The State Model for care coordination is to manage Medi enrollees who have co social service needs. Th			

CMS ORR Reviewer Assessment	CMS ORR Revie	State CR Evidence	State CR Comments
	The CMS reviewer ude, but is not limited to, metrics from explain why the stem operations, resolution of any evidence indicated rational issues, required artifacts, and satisfactory, not s monstrations. *The State does not fill out.*	*e State uses this column to list evidence support outcome achievement and may*	*The State uses this column to provide any necessary explanation or comments related to the evidence provided in Column I.*

CMS CR Review Date	CMS CR Reviewer	CMS CR Reviewer ssment	CMS CR Reviewer Explanation
The CMS reviewer uses this column to indicate the date that the evidence in Column I was reviewed by CMS. The State does not fill out this column.	*The CMS reviewer use this column to indicat who reviewed the evidence in Column I. State does not fill out column.*		*The CMS reviewer uses this column to explain why the assessment of the evidence indicated in Column M was satisfactory, not satisfactory, or N/A. The State does not fill out this column.*

Figure 31. Conditions for Enhanced Funding Responses for MES SMC Certification for Former HITECH Initiatives

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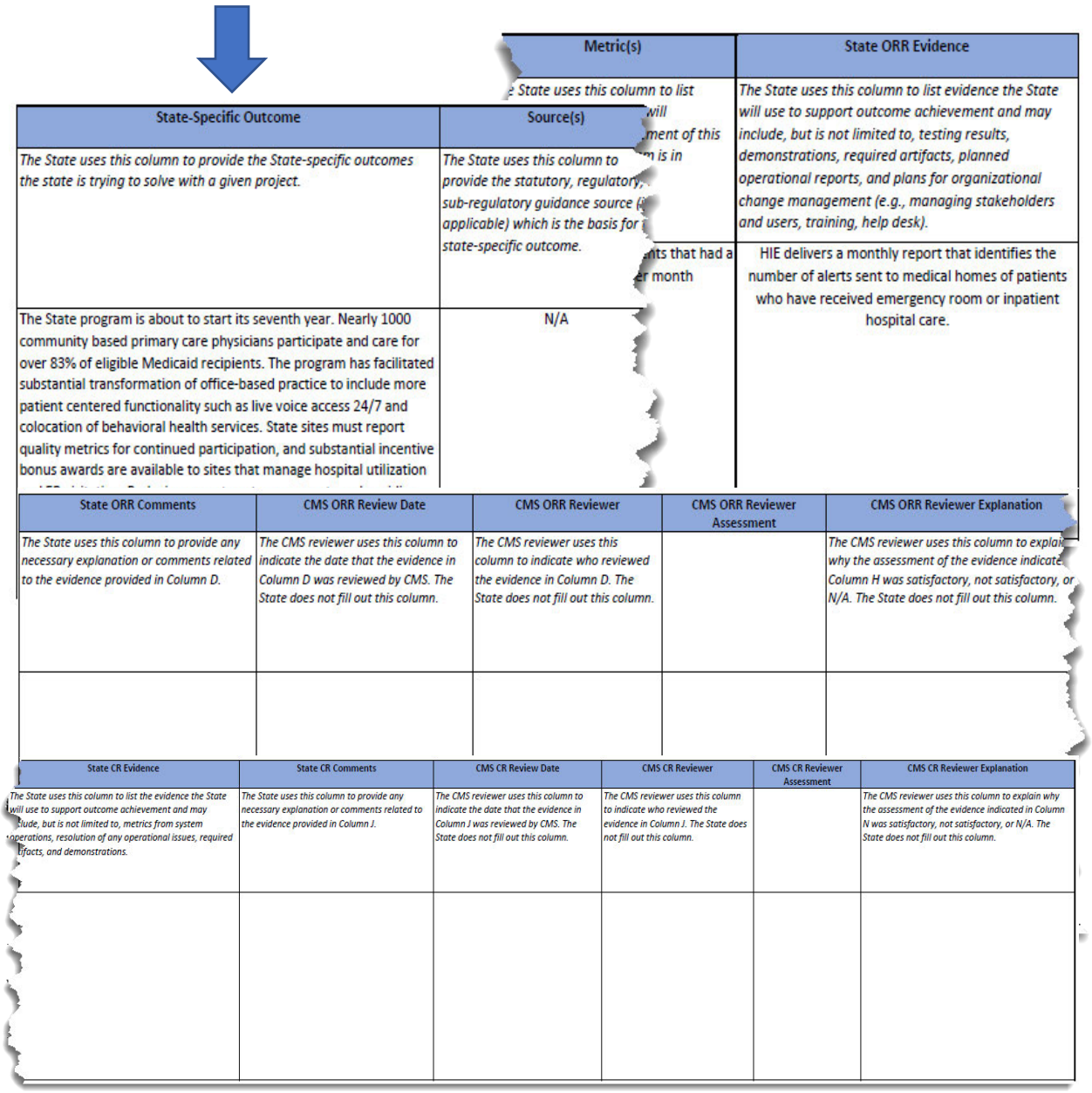

State-Specific Outcome	Source(s)	Metric(s)	State ORR Evidence
The State uses this column to provide the State-specific outcomes the state is trying to solve with a given project.	*The State uses this column to provide the statutory, regulatory, sub-regulatory guidance source (if applicable) which is the basis for the state-specific outcome.*	*The State uses this column to list will ment of this is in*	*The State uses this column to list evidence the State will use to support outcome achievement and may include, but is not limited to, testing results, demonstrations, required artifacts, planned operational reports, and plans for organizational change management (e.g., managing stakeholders and users, training, help desk).*
		nts that had a r month	HIE delivers a monthly report that identifies the number of alerts sent to medical homes of patients who have received emergency room or inpatient hospital care.
The State program is about to start its seventh year. Nearly 1000 community based primary care physicians participate and care for over 83% of eligible Medicaid recipients. The program has facilitated substantial transformation of office-based practice to include more patient centered functionality such as live voice access 24/7 and colocation of behavioral health services. State sites must report quality metrics for continued participation, and substantial incentive bonus awards are available to sites that manage hospital utilization	N/A		

State ORR Comments	CMS ORR Review Date	CMS ORR Reviewer	CMS ORR Reviewer Assessment	CMS ORR Reviewer Explanation
The State uses this column to provide any necessary explanation or comments related to the evidence provided in Column D.	*The CMS reviewer uses this column to indicate the date that the evidence in Column D was reviewed by CMS. The State does not fill out this column.*	*The CMS reviewer uses this column to indicate who reviewed the evidence in Column D. The State does not fill out this column.*		*The CMS reviewer uses this column to explain why the assessment of the evidence indicated in Column H was satisfactory, not satisfactory, or N/A. The State does not fill out this column.*

State CR Evidence	State CR Comments	CMS CR Review Date	CMS CR Reviewer	CMS CR Reviewer Assessment	CMS CR Reviewer Explanation
The State uses this column to list the evidence the State will use to support outcome achievement and may include, but is not limited to, metrics from system operations, resolution of any operational issues, required artifacts, and demonstrations.	*The State uses this column to provide any necessary explanation or comments related to the evidence provided in Column J.*	*The CMS reviewer uses this column to indicate the date that the evidence in Column J was reviewed by CMS. The State does not fill out this column.*	*The CMS reviewer uses this column to indicate who reviewed the evidence in Column J. The State does not fill out this column.*		*The CMS reviewer uses this column to explain why the assessment of the evidence indicated in Column N was satisfactory, not satisfactory, or N/A. The State does not fill out this column.*

Figure 32. State specific metrics and outcome statements supporting MES SMC certification for former HITECH initiatives.

We are currently assisting Arkansas in their HIE system certifications to support their transition to Medicaid funding and have access to standard APD outcome statements which can be used. We are experienced with effective intake form responses and CEFs. We are also able to consult and provide recommendations regarding how to maximize the MES funding through the APD process based on the State's vision and objectives. The transition from HITECH to MES funding creates a higher level of effort and complexity that the State must manage to address the additional cost sharing for funding sources. In the IV&V role, we have the expertise to monitor these processes and to provide recommendations based on our experience performing IV&V and PMO services in other States such as Arkansas and Tennessee.

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2.2 Proposed Development Approach (RFP VI A.2.b)

Based on more than 30 years of experience performing IV&V services for HHS and Medicaid enterprise projects and the corresponding maturity of our IV&V Advantage methodology, NTT DATA has a deep understanding of the scope of work and level of effort that will be needed for the Nebraska MLTC projects. IV&V Advantage allows IV&V activities to proceed in a planned and orderly manner, constantly monitored and adjusted to meet evolving project priorities. Our IV&V methodology supports the NTT DATA team and State stakeholders in the following areas, which are summarized in Figure 33.

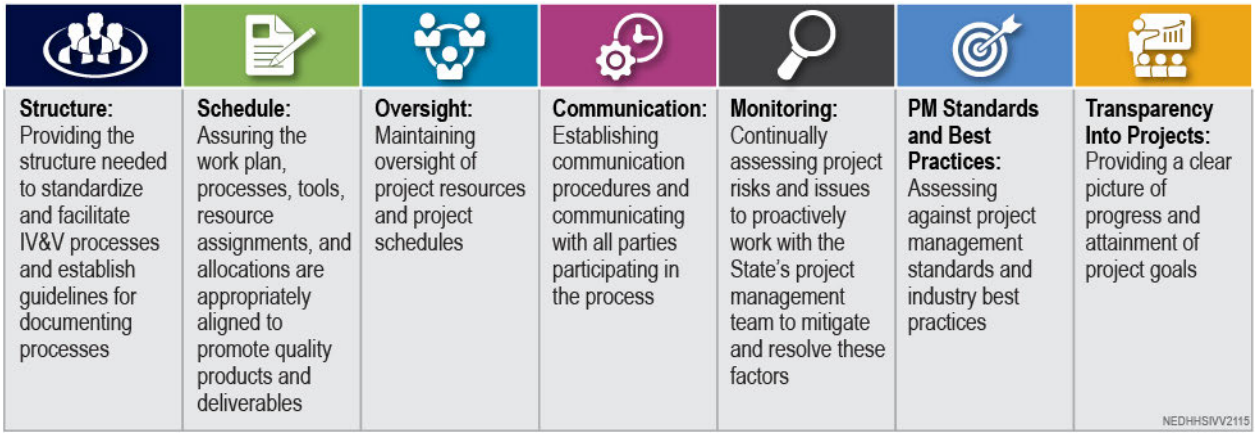

Figure 33. IV&V Advantage brings the state a range of benefits where IV&V is needed.

We have considered the multiple concurrent MLTC MES implementations into how we developed our portfolio-level approach to IV&V support in order to maximize benefit to the State and eliminate rework across the projects.

When a risk/finding is identified it is analyzed. We will determine if there is an impact to a single or multiple projects and will track and report appropriately, identifying enterprise items.

The same approach applies to supporting testing, certification, and operational readiness activities; for example, our team has the tools to support the holistic view and can provide recommendations to leverage opportunities and reduce risks across the portfolio.

Industry Leading IV&V Methodology

Our proven IV&V Advantage methodology is a key to our success in more than 20 recent IV&V projects across multiple state agencies and will be leveraged from day one for Nebraska. This methodology is highly adaptable and is based on industry, federal, and state standards and best practices for providing IV&V services.

Our IV&V methodology also benefits from our perspective, including proven success factors and methods, lessons learned, and experience from providing services outside of IV&V to large scale system implementations. We then incorporate some of our own standards and disciplines to establish the best fit for the MLTC project; these include but are not limited to:

- Project Management Institute's PMBOK, Sixth Edition (currently being updated to 7th Edition)
- Institute of Electrical and Electronics Engineers (IEEE) standards
- Information Technology Infrastructure Library (ITIL)
- National Institute of Standards and Technology (NIST) 800-53 Security and Privacy controls
- CMS certification and enhanced funding requirements

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The IV&V Advantage framework is built on our long-standing and extensive experience providing IV&V services, with a focus on providing the guidance and tools necessary to help clients attain their strategy and objectives with success. We will adapt our approach to the Nebraska project work plan, providing confidence to stakeholders that reviews are completed at the appropriate time within the development lifecycle. In addition, our team will apply their business process knowledge, including MITA maturity requirements, industry best practices, and CMS SMC or OBC requirements (as appropriate for the project).

Throughout this section and in Attachment A we provide additional details about how our IV&V Advantage framework will be leveraged for the success of Nebraska's MLTC project.

Independent Perspective
Our IV&V team will contribute to the success of Nebraska's projects while maintaining an independent perspective. The main objective of IV&V is to provide an independent view of the project to all levels of management. The effectiveness of IV&V is greatly increased by the reviewer's ability to assess progress from an independent perspective to support the State's objectives and NTT DATA brings this ability as an asset to Nebraska.

IV&V Oversight Supporting Project Management Best Practices
Providing effective program oversight and adherence to project management best practices can be challenging. Our teams are well versed in IV&V oversight based on waterfall or agile, or hybrid processes, and our tools are aligned to any of these approaches.

Our IV&V Advantage toolkit includes checklists that align to managing hybrid and agile development approaches. We update the IV&V Advantage framework and tools as needed so evaluation criteria are based on the latest industry standards, with the current checklists based on PMBOK, 6th Edition. We are in the process of refreshing the IV&V Advantage framework, tools, and checklists to incorporate the recent 7th Edition updates, which will be ready prior to the start of this engagement. These updates remove rigidness of approaches under previous PMBOK editions and will include 12 delivery principles focused on outcomes rather than deliverables to better accommodate project tailoring, hybrid approaches, and delivery of value. The updated IV&V Advantage framework will apply the most current industry standard project management best practice oversight to the MLTC projects.

Our team can immediately tailor the IV&V Advantage methods, tools, templates, and checklists based on each of the individual MLTC project roadmaps and further refine them based on work plans and evolving priorities.

We will use multiple information-gathering approaches, including reviewing vendor work products, schedules, and deliverables; conducting process evaluations and interviews; and attending and monitoring project meetings, to:

- Verify vendor plans, processes, policies, and procedures
- Monitor adherence to these plans, processes, policies, and procedures
- Determine the quality and effectiveness of plans, processes, policies, and procedures
- Monitor for project risks and issues over the entire lifecycle
- Identify and document findings of deficiencies and make recommendations
- Track and document the status of findings
- Conduct independent assessments of project progress and status
- Assess project alignment with Nebraska's State IT policies, standards, and guidelines

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- Based on our IV&V assessments, we document and track our findings using IV&V Advantage tools and templates. We then prepare and submit IV&V dashboards, report on our findings and recommendations for improvement, and provide management briefings for Nebraska DHHS leaders.

Our team will apply the following IV&V best practices to the MLTC projects:

- Maintain independence from the project team while supporting the best interest of the State
- Independent validation and verification of findings
- Communicate to appropriate stakeholders at appropriate times to support effective action
- Include appropriate technical recommendations based on lessons learned with other Medicaid implementations that we support for other clients
- Verify artifacts, deliverables, test results and outcomes against the contractual requirements and RTM, and provide recommendations towards State improvement goals
- Provide documented IV&V findings that are objective, relevant, actionable, and justifiable

The following subsections describe the components of our IV&V Advantage methodology in more detail.

Performing IV&V Activities Based on Checklists

Our IV&V Advantage checklists provide a mechanism to analyze various aspects of the project, including project work products and processes, to objectively identify findings of deficiencies, risks, and issues. Our checklists contain questions that adhere to government and industry best practices and standards, covering all phases of the project life cycle and, when needed by the specific project, certification guidelines.

The methodology includes the use of various NTT DATA checklists for the following activity components, as shown in Figure 34.

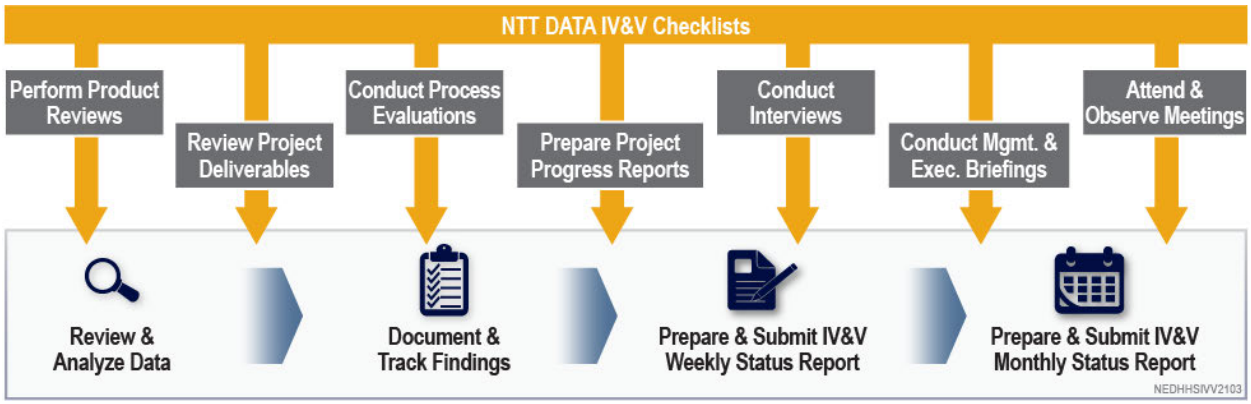

Figure 34. IV&V Activities

Perform Product Reviews

Our standard IV&V product review includes review of artifacts/ deliverables to verify the product complies with the contract and meets industry best practices, standards, and customer expectations. Using our IV&V assessment checklists, our analysts document the review approach, summary of the review, product review results and observations, and reference materials.

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We use the Product Review Worksheet as input for the Project Artifact Review Report, Deliverable Review Comment Log, or other deliverable review documentation. NTT DATA will work with the State to adjust our product/deliverable review process to the needs of MLTC.

Our checklists include the following four categories of tools to help the NTT DATA IV&V team perform the needed activities:

- **Management Checklists**. Used to monitor and assess plans, practices, procedures, and project progress to make sure the system implementation vendor, PMO, and State apply sound project management practices that comply with standard practices.
- **Development Checklists**. Used to monitor and assess the various phases of the systems development lifecycle to provide product and process quality.
- **Implementation Checklists**. Used to monitor and assess implementation tasks as well as stakeholder and system readiness.
- **Operations Checklists**. Used to monitor and assess preparedness for operations to confirm the system performs as expected and that program goals are met.

IV&V Checklists

Our IV&V Advantage toolkit includes over 90 IV&V checklists as a mechanism for analyzing various aspects of the assigned project.

The IV&V Advantage checklists provide a **proven and consistent approach to evaluating compliance** of project processes and products with government and industry standards. Figure 35 is one example of the more than 90 checklists included in our IV&V Advantage methodology. Our checklists also serve as the basis for verifying and validating compliance of contractors and PMO work products with contractual requirements, correctness, and completeness. These processes are all used as an input to the Monthly IV&V Report. The State will benefit from NTT DATA's commitment to providing a coordinated IV&V approach, as we will help assure project objectives are achieved using these tools to create a structured IV&V approach.

Our staff has the specific MES subject matter expertise to use the checklists and knowledge to apply them effectively. For instance, our team will not simply verify a test plan is present and has all the components listed on the checklist. Instead, they understand if the test plan is appropriate for a given MES module, is comprehensive, and makes sense. Our ability to reach out to a multitude of experienced Medicaid IT industry SMEs in very complex areas is a strength of our organization to which DHHS will have access.

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IV&V Advantage Checklist – Test Plan						
Question Number	Checklist Question	Applicable Standard	Criteria Met			IV&V Comments
			Yes	Partial	No	
State Reference(s): Contract Requirements						
1.						
Industry/Best Practice Reference(s):						
2.	Testing strategies include unit testing, functional testing, regression testing, integration testing, user acceptance testing, performance testing, manual and automated and/or scripted testing, disaster recovery and end-to-end integration testing.	IEEE 12207-2017				
3.	Test Plan describes the approach used to demonstrate bi-directional traceability to requirements and design.	IEEE 12207-2017				
4.	Test Plan documents the plans for preparing the test/staging environment.	IEEE 12207-2017				
5.	Test Plan includes information describing how on test cases are added as design progresses.	IEEE 12207-2017				
6.	Test Plan identifies the general test conditions that apply to all of the tests or a group of tests.	IEEE 12207-2017				
7.	Test Plan describes the progression of tests or the planned sequence.	IEEE 12207-2017				
8.	Test Plan identifies the data recording, reduction, and analysis procedures to be used during or after the tests.	IEEE 12207-2017				
9.	Test Plan identifies the software item and software systems integration tests based on the software and system requirement.	IEEE 12207-2017				
10.	Test Plan provides schedules for test/retest activities.	IEEE 12207-2017				

Figure 35. IV&V Advantage Checklists Example – Test Plan

An integral part of our IV&V Advantage methodology is the use of tools that align with industry and government standards and best practices. Our methodology promotes project success by delivering what is required, not just what is documented. Because IV&V Advantage provides a standardized framework for our IV&V projects, we can easily adapt to any of the MLTC projects under this contract.

Conduct Process Evaluations

Our IV&V process evaluation is an evaluation of project processes to verify the project follows standard processes according to documented project plans, policies, processes, procedures, and directives. Using our IV&V assessment checklists and Process Evaluation Worksheet, our IV&V analysts document the evaluation approach, summarize our evaluation, provide our process evaluation results and observations, and list reference materials.

Conduct Interviews

Interviews and observations of project stakeholders are a standard component of our IV&V services. Our IV&V process includes conducting interviews with State and vendor project management, solution vendors and other project staff for clarification, to gather additional information, or confirm facts. Prior to the interview, our analyst provides the purpose of the interview and the interview questions to the person interviewed. For each interview, the analysts complete an Interview Worksheet.

Output of Interviews and Benefit to MLTC

These interviews benefit MLTC by allowing us to validate IV&V observations and, with the identification of risks and issues in product and process, determine what activities are having a positive impact.

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Attend and Observe Meetings
As part of the application of our IV&V Advantage methodology, we attend and observe project meetings with the project development contractor staff, PMO, and other project staff.

Attendance in meetings has multiple purposes. In addition to gaining an understanding of the processes, procedures, and tools used in the project environments, NTT DATA monitors for compliance with PMI PMBOK standards, industry best practices, state agency expectations, and compliance to project-level decisions. Meetings are also a venue to review, discuss, and update risks, and to observe stakeholder and staff interactions.

For effective IV&V observations, members of the IV&V team respectfully request invitations and attend some or all of the following meetings:
- Regular project status meetings
- Steering Committee meetings, if requested
- Meetings related to development, including requirements, design, testing sessions, and agile sprints
- Security-related meetings
- Project management meetings including risks, issues, and change management
- Schedule/Project Plan review meetings
- Regular agency meetings with the federal partner, as appropriate
- Meetings leading up to implementation, including go/no-go sessions

Meeting attendance enables the IV&V team to gain a comprehensive and detailed understanding of the project and to provide thoughtful, accurate, and useful observations and findings.

Documenting and Tracking Findings
Our IV&V Advantage methodology includes tools to help the IV&V team with documenting and tracking project findings, which are defined as any area of weakness that is a risk to the project. In response, NTT DATA provides a recommendation for corrective action. Findings are identified as a result of attending project meetings, reviewing project documents, conducting product reviews, conducting process evaluations, and interviewing project staff.

For each finding, our analyst will document finding descriptions, recommendations for remediation, time criticality, probability of project impact, and the degree of project impact. As progress is made on the finding, the finding is updated with a description of the progress observed on remediation. If desired, we can include the finding in the IV&V project assessment reports or we can provide a summary table of the findings.

Preparing and Submitting IV&V Assessment and Status Reports
Based on the review of our findings, we will produce our IV&V assessment and status reports which will go through our quality review process. This includes peer review of content (providing multiple perspectives from our diverse team) as well as our QC process which involves a QC document review by our documentation specialist of all deliverables to verify high quality prior to submission to DHHS.

For details on our IV&V assessment reports and status reports see Sections 2.1.1, 2.8 and other sections of this response.

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Conducting Management Briefing

At least monthly, our IV&V Lead will meet with the State Project Manager and other project team members. These meetings will follow an agreed upon agenda and allow NTT DATA and the State to discuss relevant topics, which may include:

- Project progress and status
- Project metrics
- Compliance with approved project processes
- Significant risks
- Escalated issues
- Quality issues
- IV&V findings and recommendations

Industry Standards

Federal standards and requirements coupled with industry standards and best practices, form the basis of the NTT DATA's IV&V Advantage methodology and are infused throughout the IV&V Advantage framework. Our IV&V Advantage checklists contain questions that adhere to government and industry best practices and standards, covering the project life cycle for management, development, implementation, and operations.

NTT DATA applies specific state standards and guidelines to support DDI and operations activities for every project. This practice safeguards the DHHS MLTC solution contractor's work aligns with the State's specific needs and will fit into the overall enterprise architecture. Figure 36 lists standards that NTT DATA utilizes for our work efforts.

Figure 36. Industry Standards

Practice area standard	Reference name	Subject
Project Management	PMI PMBOK PMI PMBOK CMMI-DEV (PMC) CMMI-DEV (PP) CMMI-DEV (IPM) CMMI-DEV (QPM) CMMI-DEV (DAR) CMMI-DEV (OPD)	Project Management Body of Knowledge Agile Practice Guide Project Monitoring and Control Project Planning Integrated Project Management Quantitative Project Management Decision Analysis and Resolution Organizational Process Definition
Software Project Management	IEEE 16326-2009 IEEE 12207-2017	Project Management Software Lifecycle Processes
IT/Software Architecture, Design, and Development	IEEE 26512-2017 IEEE 42010-2011 IEEE 23026-2015 IEEE 12207-2017 MITA Version 3.0 CMS Conditions and Standards	Systems and Software User Documentation Standards Systems and Software Engineering— Architecture Description Systems and Software Engineering— Engineering and Management of Websites for Systems and Software, and Services Information Software Lifecycle Processes Business, Information, Technology Architecture for MITA CMS Technical Guidelines
Work Breakdown	PMI PMBOK CMMI-DEV (MA)	PMI Practice Standard for Work Breakdown Structure Measurement and Analysis
Risk Management	IEEE 16085-2006 CMMI-DEV (RSKM)	Risk Management Risk Management

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Practice area standard	Reference name	Subject
	PMI PMBOK	PMI Practice Standard for Risk Management
Requirements Management	IEEE 29148-2011 IEEE 12207-2017 IEEE 1012-2016 CMMI-DEV (REQM) PMI PMBOK PMI PMBOK	Requirements Engineering Software Lifecycle Processes Verification and Validation Requirements Management PMI Practice Standard for Scope Management PMI Practice Standard for Requirements Management
Configuration Management	IEEE 828-2012 CMMI-DEV (CM)	Software Configuration Management Configuration Management
Quality Management	PMI PMBOK IEEE 730-2014 IEEE 1012-2016 IEEE 1028-2008 IEEE 1061-1998	PMI Practice Standard for Quality Management Software Quality Assurance Processes Verification and Validation Standard for Software Reviews/Audits Software Quality Metrics Methodology
Process Improvement	CMMI	Software Engineering and Organization Development Process Improvement
Test Strategy and Plans	IEEE 829-2008	Standard for Test Documentation
S/W Maintenance and Operations	IEEE 14764-2006	Software Engineering—Lifecycle Processes—Maintenance
Security Standards	HIPAA Privacy and Security NIST	Standards for protection of Protected Health Information (PHI) Information and computer security publications and standards
Training	CMMI-DEV (OT)	Organizational Training

Federal Standards

Adherence to strict guidelines and standards set by CMS is required to obtain system certification and continued financial participation support for operational activities. As a result, NTT DATA is vigilant about maintaining the Federal Reference Library housed in our IV&V Advantage Knowledge Base to authenticate the latest information is available for access by the project team. The library includes:

- CMS Conditions and Standards
- MITA
- EVV Certification Toolkit 1.0
- Streamlined Modular Certification Guidance
- CMS New Rules and Directors Letters
- Guidelines for Third-Party Independent Security Assessments
- Additional Federal Reference Documents, including regulations for developing APDs, security regulations, information regarding Eligibility systems, and funding and grant information

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2.3 Technical Considerations (RFP VI A.2.c)

Our IV&V team will leverage specific components of our IV&V approach for verification and validation of the technical objectives of this project, including IEEE, ITIL NIST, and CMS requirements described in previous sections of our proposal. For example, the Interoperability and Patient Access, Integrated Eligibility and Enrollment/Benefits Management, and HITECH to MES Transition modules associated with this project must share a common data and interoperability architecture. This will be a critical success factor for these systems to work together in an enterprise environment, to effectively manage the integration of data and services to meet the business needs of Members in Nebraska.

As our IV&V team launches the initiation, planning, execution, monitoring and control, and closure phases of this project, we will leverage the Practice Area standards to support technical considerations including:

- **Design.** Leverage the design standards provided in IEEE 26512-2017, IEEE 42010-2011, IEEE 23026-2015, IEEE 12207-2017 to verify each module includes the data elements and interfaces needed to meet individual business needs and promote a single source of truth for member related data.
- **Business Delivery.** Leverage the structure provided by ITIL to verify that business services have been defined, module functionality has been mapped to these business services, and service level metrics have been included so that module functionality meets the business needs.
- **Security.** Leverage the security framework and controls provided through NIST to verify and validate that information security and confidentially is maintained from design, implementation, and ongoing operations.
- **Compliance.** Finally, our team has unmatched knowledge of statute and regulatory requirements defined by CMS to verify system design, capability, and operational components meet the needs for certification and ongoing funding.

Our IV&V Team has integrated process and standards into our approach to confirm technical considerations for this project have been identified, validated, verified, and tracked to support resolution.

2.4 Detailed Project Work Plan/Schedule (RFP VI A.2.d)

Our IV&V team will prepare a detailed IV&V project work plan/schedule that includes IV&V activities for each of the MLTC projects. Please refer to details about our work plan/schedule in Attachment A, Sections PM-2 and PM-4.

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2.5 Deliverables and Due Dates (RFP VI A.2.e)

NTT DATA is prepared to provide all deliverables described in the RFP in accordance with the due dates required for each of the MLTC projects.

IV&V Project Deliverables

Deliverable	Submission Timeline
IV&V Project Management Plan	Submit an IV&V Project Management Plan within 30 days of project start.
IV&V Weekly Status Report	Submit an IV&V Weekly Status report within one business day from the end of the weekly reporting period.
Monthly IV&V Report	Submit a Monthly IV&V Report within five business days after month end.
Project Schedules	Submit a project schedule within 30 days after project start. Subsequent update will be completed weekly.
Systems and Business Operations Readiness Review Plan	Submit the Business Operation Readiness Review Plan 90 days prior to acceptance testing.
Privacy and Security Plan	Privacy and Security Plan must be approved prior to contractor having access to project materials.

IV&V assessment deliverables including formal schedule reviews, reviews of solution vendor deliverables and work products, certification materials, test plans and results, Requirements Traceability Matrix (RTM), risk/issue assessments, and all other IV&V deliverables not listed in the previous table, will be aligned with the scope, schedule, and MLTC/solution vendor work plans for each project.

Deliverables and due dates for the IV&V deliverables including those outside of this table will be documented in the Deliverables Management Plan of the IV&V Project Management Plan. The State will have the opportunity to review our proposed process and to provide input prior to finalization, and we will have an opportunity to review detailed State and vendor contracts and work plans as input. The specific due dates will be based on actual project schedules and current statuses when our team comes onboard and will be defined within 30 days after contract start.

For additional details on IV&V Deliverables and Work Products, see Attachment A, Section IDW-1.

2.6 Attachment A - Business Requirements Traceability Matrix

Attachment A begins on the next page.

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Attachment A

Business Requirements Traceability Matrix

Request for Proposal Number 109035 O3

Bidders are instructed to complete a Business Requirements Traceability Matrix for independent verification and validation (IV&V) services. Bidders are required to describe in detail how their proposed solution meets the conformance specification outlined within each Business Requirement.

The traceability matrix is used to document and track the business requirements from the proposal through testing to verify that the requirement has been completely fulfilled. The contractor will be responsible for maintaining the contract set of Baseline Requirements.

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

The bidder must ensure that the original requirement identifier and requirement description are maintained in the traceability matrix as provided by DHHS. Failure to maintain these elements may render the bid non-responsive and result in for rejection of the bidder. How to complete the traceability matrix:

Column Description	Bidder Responsibility
Req #	The unique identifier for the requirement as assigned by DHHS, followed by the specific requirement number. This column is dictated by this RFP and must not be modified by the bidder.
Requirement	The statement of the requirement to which the bidder must respond. This column is dictated by the RFP and must not be modified by the bidder.

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Project Management

Business Requirements	
Req #	**Requirement**
PM-1	Describe Bidder's proven methodology, approach, and process for Project Management of Medicaid IV&V activities,

Response:

Methodology, Approach, and Process for Project Management of Medicaid IV&V Activities (RFP V B.1.c.i)

NTT DATA has successfully completed IV&V projects using our tools and templates that have been developed, documented, and updated with lessons learned from our extensive project experience. This experience will bring value to DHHS by enabling us to thoughtfully and knowledgeably oversee the MLTC projects. More information about our experience can be found in Section 1.8 of this response.

For the MLTC project, NTT DATA will apply IV&V Advantage, one of eight Enterprise Advantage domains. IV&V Advantage is our framework for providing IV&V services in projects, including the development and modernization of government IT systems. The adaptability of IV&V Advantage will enable our proposed NTT DATA project manager to start work immediately without having to spend valuable time creating processes and procedures. The approach to managing the MLTC IV&V project is described below for each project phase.

Initiation

In the initiation phase, we will start the MLTC project IV&V effort. Our team will meet with designated State leadership to validate the project governance structure, scope of services, deliverables, and the proposed timeline. We will then facilitate a kickoff presentation with DHHS stakeholders to review the project governance, roles, IV&V approach, timeline, and deliverables. Figure 37 defines initiation activities, deliverables, and work products.

Figure 37. Focus Area – Project Initiation

Focus Area	Tasks	
Work Breakdown Activities	• Meet with the project sponsor(s) and designated DHHS stakeholders for each project • Gather lessons learned from similar projects • Review the project scope • Review and confirm the scope of IV&V deliverables • Define stakeholder roles and responsibilities	• Prepare initial timeline • Prepare draft work breakdown structure • Prepare kickoff meeting materials (agenda and presentation)

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Project Specific Inputs	• IV&V scope of work and IV&V contract • Collaborative discussions and agreements with the DHHS • Lessons learned and industry best practices from other projects
Deliverable(s)/Work Products	• IV&V kickoff presentation

Planning

The purpose of the planning phase is to develop an IV&V Project Management Plan that defines project practices, methodologies, tools, standards, activities, a meeting cadence, deliverables, personnel resources (including roles and responsibilities), and schedules for conducting IV&V assessments and reviews. The plan will serve as the guide for performing all IV&V activities.

We recognize the need to develop internal and external communication protocols and to coordinate with other State agencies and their vendors. During the planning phase, we will develop a coherent approach for all oversight activities, so our processes work seamlessly with established governance structures for DHHS projects. Figure 38 defines planning activities, deliverables, and work products.

Our IV&V team will deliver value throughout the lifecycle of MLTC's projects. During the planning phase, we will have the greatest impact in providing the State support to avoid pitfalls and identify opportunities to support success at the individual project as well as the portfolio or enterprise level.

It is also important that we effectively plan our IV&V activities to align to the project activities, deliverables, approaches, and outcomes, and to tailor our approach and activities accordingly. This alignment will be informed by work plans, contracts, and desired outcomes among other artifacts, and will result in the IV&V Project Management Plan for each project. We will continue to monitor and adapt our ongoing services to provide continuous alignment and successfully support the State portfolio of projects.

Shortly after we onboard, we will identify the appropriate stakeholders by project as we develop the communication plan section of the IV&V Project Plan. This planning will enable us to monitor the right meetings with the right stakeholders to gather and share information including executive level touchpoints.

Our IV&V plan for each individual MLTC project will be unique based on the unique considerations of each project including the approach, current phase, stakeholders involved, communications approach, and numerous other factors.

The details describing how we will meet the requirements for all DHHS projects is addressed in the response to PM-4. The following table outlines the planning activities, deliverables, and work products.

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Figure 38. Focus Area – Planning

Focus Area	Tasks	
Work Breakdown Activities	• Confirm IV&V tasks and deliverables • Confirm appropriate standards are applied per NTT DATA's methodology • Collaborate with the DHHS and their vendors to define an approach for identifying, communicating, and escalating project issues and risks • Collaborate with DHHS stakeholders on project meetings that IV&V will observe or participate in, onsite and/or remotely, to support IV&V analysis and tasks • Collaborate with DHHS stakeholders in documenting an approach for the development of deliverables • Draft an IV&V schedule according to DHHS project schedules, including all deliverables and major IV&V activities • Identify project milestones • Determine project performance metrics, reporting methods, and reporting frequencies • Develop an IV&V Project Management Plan • Review the IV&V Project Management Plan periodically to reflect changes	
Project Specific Inputs	• DHHS project schedules and management plans • IV&V scope of work as defined in the IV&V contract • Vendor contract requirements	• Vendor project management plans • Collaborative discussions and agreements with the DHHS and their vendors
Deliverable(s)/Work Products	• IV&V Project Management Plan (initial) • IV&V Project Management Plan (subsequent updates) • IV&V project schedule (initial)	• IV&V project schedule (subsequent updates) • Weekly Status Report template • Monthly IV&V Report template

Execution

The purpose of the execution phase is to begin IV&V activities as documented in the IV&V Project Management Plan and IV&V project schedule. Our team will then carry out all planned activities, develop deliverables, and present regular status updates to DHHS stakeholders. The primary objective of IV&V is to provide independent review and oversight of IT projects and the planned business outcomes that the organization hopes to achieve. Our team will assess the accuracy and quality of DHHS project products and processes, provide an independent perspective on project activities, and promote early detection of project and product variances. This will allow the implementation of corrective actions that restore alignment with agreed upon expectations for projects. Assessment reports produced by NTT DATA will also provide supporting evidence that products and processes satisfy documented requirements.

The detailed IV&V approach we have defined will facilitate early detection and correction of issues and provide clearly documented findings of deficiencies with recommendations and associated risks. This approach is adaptable to the

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DHHS project work plans, and it will drive completion of assessments and reviews at the appropriate time in the project lifecycle. Figure 39 defines the activities, deliverables, and work products of the execution phase.

Figure 39. Focus Area – Execution

Focus Area	Tasks	
Work Breakdown Activities	• Attend project meetings • Engage in conversations and interviews with key project stakeholders • Conduct first-hand observations of actual project management practices and processes • Monitor previously identified risks and progress in managing and mitigating those risks • Monitor previously identified issues and progress toward resolving these issues • Identify and document new issues and risks to the project along with recommended mitigation strategies	• Conduct and report results of project assessments • Conduct and report results of deliverable reviews • Conduct and report results of product and process evaluations • Gather data and develop IV&V Weekly Status Report(s) • Gather data and develop Monthly IV&V Report(s)
Project Specific Inputs	• MLTC project schedules and work plans • Vendor contract requirements and work plans • MLTC project artifacts • IV&V's meeting notes, observations, and recommendations • Risk and issue registers	• State standards and requirements • Vendor project management plans • Collaborative discussions and agreements with DHHS • Collaborative discussions, project meetings, and stakeholder interviews and agreements
Deliverable(s)/Work Products	• Verification and validation of project deliverables and work products • Assessment results • Identified risks and issues • Weekly Status Report • Monthly IV&V Report	

Monitor and Control. In the monitor and control phase, we provide valuable insight into the health of projects and identify areas requiring immediate attention. This phase spans across the entire project lifecycle. The purpose is to monitor project activities to prevent scope creep, track performance metrics and variances, and provide continuous and proactive feedback.

As the IV&V services provider for one of our state clients supporting an EVV project, we have observed a number of quality management issues, such as the vendor closing state defects without validation or resolution, system specifications not being updated as a result of change orders, and the vendor not notifying the State of changes

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implemented to production until after deployment. Our early detection of these issues and immediate reporting to the right stakeholders enabled our client to enact our recommendations to remediate the process with the vendor ahead of more complex change orders, which resulted in several defects and would have impacted accurate provider payment for services.

NTT DATA will develop IV&V status reports and conduct regular status update meetings with the designated DHHS stakeholders.Through these activities, we will provide a snapshot of overall project health against key project metrics defined in the project planning phase. Figure 40 defines the activities, deliverables, and work products of the monitoring and control phase.

Figure 40. Focus Area – Project Monitoring and Control

Focus Area	Tasks	
Work Breakdown Activities	• Monitor and control communication • Monitor and control costs • Monitor and control quality • Validate and control scope • Monitor and control risks and issues • Monitor and control stakeholder engagement	• Monitor and control change • Monitor and control configuration management • Monitor and control resources • Develop status reports • Conduct status meetings
Project Inputs	• Project status reports • Project schedule • Project action item log • Project risk log • Project issue log	• Project decision log • Project lessons learned log • IV&V Project Management Plan • Meeting minutes • Project artifact and deliverable reviews
Deliverable(s)/Work Products	• Weekly IV&V Status report • Monthly IV&V Report • Updated plans and project artifacts • Updated risk and issue logs • Project schedule updates • Ongoing	

Closure. Once the project enters the final activities of the implementation phase, closeout activities will begin with the purpose of communicating completion to project stakeholders and completing project lessons learned activities. This is a critical step in the project lifecycle as it allows the team to evaluate and document the project, use this information to prevent mistakes from occurring in future projects, and build on successes that strengthen processes. Figure 41 defines the closeout activities, deliverables, and work products of this phase.

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Figure 41. Focus Area – Project Closeout

Focus Area	Tasks
Work Breakdown Activities	• Conduct post-project reviews • Document lessons learned • Assess team performance and release resources • Closeout procurement activities and termination of relevant agreements • Record impacts to tailored processes • Obtain approval to formally close the project • Complete transition plan activities • Archive project documentation
Project Inputs	• Project lessons learned log
Deliverable(s)/Work Products	• Updated project lessons learned log for the closure of each MLTC project

Adaptable and Tailorable IV&V Approach for each MLTC Project

The multiple concurrent MLTC critical initiatives in-progress, including EVV, POS Drug Claim processing, Interoperability and Patient Access Rule, HITECH to MES transition, and Integrated Eligibility and Enrollment/Benefits Management, present unique challenges to DHHS. These challenges include coordinating multiple large-scale initiatives concurrently with a resource workload spread across multiple teams and departments. In addition, several factors may impact the implementations such as solution type (including SaaS, COTS, or custom development), SDLC, types of stakeholders, etc., creating a need to tailor the approach for each project to align with structured project management best practices. For example, a modified implementation approach focused on gap analysis is appropriate for COTS products. For cloud-hosted module solutions, differences exist between cloud-native solutions and traditionally hosted solutions, which were later migrated to the cloud.

NTT DATA's IV&V methodology offers flexibility to address these, and other, challenges. Our approach benefits MLTC by providing:

- **Scalability.** IV&V Advantage includes scalable tools, templates, and checklists that can easily be tailored based on the size, scope, and implementation approach of the modular solution.
- **Holistic Reporting.** For aggregate IV&V scorecard reporting at the MLTC program level, we provide a holistic view of the MES Program that is appropriate for presentation to the CMS State Officer, Steering Committees, and MLTC leadership. This view supports executive leaders by presenting risks and issues at an aggregate program level to promote effective and prioritized decision-making across the projects.
- **Tailored IV&V Tools.** Based on our experience providing IV&V services for MES modules in other states, NTT DATA's tools and checklists are designed to be tailored for each sub-module. This enables our IV&V team to work efficiently and provide immediate value to the State through modular implementations.

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	MLTC will benefit from NTT DATA's scalable IV&V methodology, which provides the flexibility to address known and yet to be discovered challenges of MLTC implementations. **Our Adaptability.** NTT DATA's various technological skills, SDLC approaches, and certification models also support our adaptability in assigning the right resources to adapt to the particulars of each MLTC project, as well as deliver maximum value and enable alignment to the State's needs.
PM-2	Include an example of an IV&V project schedule utilized on similar projects. Response: **Example of an IV&V Project Schedule Utilized on Similar Projects (RFP V B.1.c.ii)** To develop the IV&V project schedule(s) our project manager will initially review the MLTC project artifacts, including project schedules from the State and vendors, vendor contracts, and approved APDs, to identify timelines and deliverables that we will align to. Based on the State's deliverables, work products, and timelines, we will establish the IV&V project schedule(s) WBS components, tasks, milestones, and timelines. We will also identify and implement appropriate predecessors and successors, and will assign project resources from our IV&V team and resources pools to align delivery and provide adequate staffing. An example IV&V project schedule from one of our past projects is included in Appendix G, and can also be seen below in Figure 42. We will also maintain our project schedule(s) for IV&V services, which will be aligned with the MLTC project schedule(s). The IV&V project schedule will include all activities, work products, and deliverables in support of MLTC projects. Upon initial approval of the IV&V project schedule (which will occur within the first 30 days after the start of the contract), the IV&V schedule and status will be updated weekly. This will allow MLTC to track the work progress of IV&V in accordance with the Department's schedule management processes. We will obtain the Department's approval for the initial IV&V schedule prior to baselining the schedule, propose schedule realignments as needed to adapt to project changes, and re-baseline the schedule only with Department approval. We will provide flexibility to manage the schedule in accordance with the Department's schedule management process and utilize our own effective tools and techniques. The IV&V schedule will be developed and maintained in accordance with the Schedule Management Plan as defined in the IV&V Project Management Plan upon Department approval.

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EXAMPLE MES IV&V Project

ID	Task Name	% Complete	Duration	Start	Finish	Predecessors	Successors
0	**MES IV&V Project**	**81%**	**1179 days**	**11/15/17**	**7/15/22**		
1	**Contract Administration**	**100%**	**30 days**	**11/15/17**	**12/29/17**		
2	MES IV&V Project Contract Start	100%	0 days	11/15/17	11/15/17		
3	Complete Project Startup Checklist Items	100%	30 days	11/15/17	12/29/17		
4	~~Complete Project Closeout Checklist Items~~	~~0%~~	~~5 days~~	~~6/3/21~~	~~6/9/21~~	~~943~~	
5	**Initial Deliverables**	**99%**	**626 days**	**11/30/17**	**5/22/20**		
6	**DED MES Monthly Project Status/Assessment Report**	**100%**	**13 days**	**11/30/17**	**12/18/17**		
7	Develop DED MES Monthly Project Status/Assessment Report	100%	5 days	11/30/17	12/6/17		8
8	Internal Review DED MES Monthly Project Status/Assessment Report	100%	2 days	12/7/17	12/8/17	7	9
9	Deliver DED MES Monthly Project Status/Assessment Report	100%	0 days	12/8/17	12/8/17		
10	Review and Approve DED MES Monthly Project Status/Assessment Report	100%	5 days	12/12/17	12/18/17		
11	**Initial Deliverables Monthly Project Assessment 1**	**100%**	**35 days**	**12/1/17**	**1/23/18**		
12	Perform Monthly Project Assessment 1	100%	20 days	12/1/17	12/29/17		
13	Create MES Monthly Project Status Report 1	100%	6 days	12/27/17	1/4/18		
14	Internal Review MES Monthly Project Status Report 1	100%	2 days	1/5/18	1/8/18		
15	Deliver MES Monthly Project Assessment Report 1	100%	0 days	1/8/18	1/8/18		31FS-4 days
16	Review and Approve MES Monthly Project Status Report 1	100%	10 days	1/9/18	1/23/18		32
17	**Initial Deliverables Monthly Project Assessment 2**	**100%**	**36 days**	**1/2/18**	**2/21/18**		33
18	Perform Monthly Project Assessment 2	100%	21 days	1/2/18	1/31/18		34
19	Create MES Monthly Project Status Report 2	100%	6 days	1/26/18	2/2/18	1	
20	Internal Review MES Monthly Project Status Report 2	100%	3 days	2/5/18	2/7/18	1	
21	Deliver MES Monthly Project Assessment Report 2	100%	0 days	2/7/18	2/7/18	2	37FS-4 days
22	Review and Approve MES Monthly Project Status Report 2	100%	10 days	2/8/18	2/21/18	2	38
23	**Initial Deliverables Monthly Project Assessment 3**	**100%**	**35 days**	**2/1/18**	**3/21/18**		36FS-4 days
24	Perform Monthly Project Assessment 3	100%	20 days	2/1/18	2/28/18		37
25	Create MES Monthly Project Status Report 3	100%	6 days	2/23/18	3/2/18	2	38
26	Internal Review MES Monthly Project Status Report 3	100%	3 days	3/5/18	3/7/18	2	39
27	Deliver MES Monthly Project Assessment Report 3	100%	0 days	3/7/18	3/7/18		
43	Internal Review DED IV&V Management Plan	100%	2 days	12/18/17	12/19/17	42	
44	Deliver DED IV&V Management Plan	100%	0 days	12/19/17	12/19/17	43	
45	Review and Approve DED IV&V Management Plan	100%	1 day	12/20/17	12/20/17	44	
46	Develop IV&V Management Plan	100%	4 days	12/21/17	12/27/17	45	
47	Internal Review IV&V Management Plan	100%	2 days	12/28/17	12/29/17	46	
48	Deliver IV&V Management Plan	100%	0 days	12/29/17	12/29/17	47	
49	Review IV&V Management Plan	100%	10 days	1/2/18	1/16/18	48	
50	Revise IV&V Management Plan	100%	3 days	1/17/18	1/19/18	49	
	Revise Project Schedule/Work Plan	100%	4 days	1/17/18	1/22/18	62	64
	Deliver Revised Project Schedule/Work Plan	100%	0 days	1/22/18	1/22/18	63	65
	Review Revised Project Schedule/Work Plan	100%	0 days	1/22/18	1/22/18	64	66
	Approval of Project Schedule/Work Plan	100%	0 days	1/22/18	1/22/18	65	
	I-3 SI/ESB Solicitation Assessment	**99%**	**76 days**	**3/8/18**	**6/22/18**		
	Develop DED Assessment of SI/ESB Solicitation	100%	3 days	3/8/18	3/12/18	169,225	69
	Internal Review DED Assessment of SI/ESB Solicitation	100%	1 day	3/13/18	3/13/18	68	70
	Deliver DED Assessment of SI/ESB Solicitation	100%	0 days	3/13/18	3/13/18	69	
	Review and Approve DED Assessment of SI/ESB Solicitation	100%	1 day	3/13/18	3/13/18		76,73
	SEAS Vendor Delivers SI/ESB Solicitation (Attachement B)	100%	1 day	3/26/18	3/26/18		76,73,75
	Assess SI/ESB Solicitation - Preliminary (Attachement B)	100%	6 days	3/27/18	4/3/18	72,71	74
	Internal Review Assessment of SI/ESB Solicitation (Attachement B)	100%	1 day	4/4/18	4/4/18	73	78

Figure 42. Sample IV&V Project Schedule

IV&V Schedule Assessments

Our team will perform IV&V assessments of the MLTC and vendor project schedule(s) to assure adherence to standards and best practices, make determinations regarding adherence to schedule management processes, identify schedule risks and issues, and provide recommendations. These schedule assessments will occur to inform weekly and monthly IV&V project status reporting. Our team will not only look at individual schedules, but also the impacts of each

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	project on the enterprise to identify any risks, recommendations, and/or findings. We also have the capability to provide recommendations and assessments for an integrated master schedule, which will present insight into all the MLTC projects being managed concurrently.
PM-3	Describe how the IV&V bidder's project management approach adapts to varying State governance models.
	Response: **How NTT DATA's Project Management Approach Adapts to Varying State Governance Models (RFP V B.1.c.iii)** We understand that each of the five projects in the Nebraska portfolio will likely have different governance structures and stakeholders. Our Project Management approach accommodates this complexity, and we have proven experience in models for a single-vendor environment and for multi-vendor environments. Our team will use the defined governance processes of individual DHHS projects. The governance models will be supported by our team through meeting participation, assessment and progress report submissions, and stakeholder involvement. Our team will verify and validate the effectiveness of the governance models in place for DHHS and communicate our observations and recommendations to appropriate DHHS project leadership. Our NTT DATA IV&V team believes the framework for any governance model can be found in an effective communication management plan. The communication management plan should initially identify the project stakeholders and their information needs. The plan should address the communications content, presentation format, release authorizations, and delivery cycles to address those needs, including but not limited to: • Business teams within the agencies • IT teams • Consultants and vendors • Interfacing partners • CMS oversight and guiding agencies • MITA Maturity Governance • Data Governance • Security and Privacy Compliance Our executive IV&V dashboard reporting within the Monthly IV&V Report will support the State in portfolio-level governance of the overall IT portfolio, and inform governance regarding MITA maturity, adherence to budget and schedule, as well as security and privacy and contract management reviews across all the projects. We will adapt our reporting for each project based on the SDLC (waterfall, agile, hybrid, etc.) and type of solution (COTS, SaaS, and custom development).

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PM-4	Address the bidder's approach to meeting each requirement in a table that contains the requirement and the contractor's approach to meeting the requirement.

Response:

Approach to Meet the Requirements (RFP V B.1.c.iv, V B.1.b.1-3, and VI A.2.a)

Figure 43. Project Management RFP Requirements

1. Must develop and submit comprehensive IV&V Management Plan(s) work product for Department approval a maximum of 30 days after the project start and must manage and perform the IV&V services in accordance with the IV&V Project Management Plan(s).

NTT DATA understands that project success is built on effective project management, and effective project management begins with documentation that defines our approach across IV&V activities to provide the desired level of quality. To fulfill this requirement, NTT DATA will develop a comprehensive IV&V Project Management Plan for each DHHS project and deliver the plans to DHHS for approval within 30 days of project start. This plan describes the methodologies, tools, standards, tasks/activities, milestones, deliverables (including expected format, content, and organization), personnel resources, and schedule for conducting the IV&V assessments/reviews.

Our plan contains sections covering IV&V processes in the areas of Stakeholder Management, Change Management, Quality Management, Risk and Issue Management, Training Management, Resource Management, Communications Management, and will be tailored to include other sections deemed necessary for each DHHS project. The plan will serve as the guide for performing all IV&V activities. Figure 44 further documents our approach to develop the IV&V Project Management Plan.

Figure 44. Focus Area – IV&V Project Management Plan

Focus Area	Tasks
Work Breakdown Activities	• Develop Deliverable Expectations Document (DED) for each plan. This provides an outline with context of each section of each document to align expectations between NTT DATA and DHHS. • Review and gain approval of DED from DHHS leadership for each project • Confirm with DHHS the IV&V tasks and deliverables • Confirm appropriate state, federal, and industry standards are applied per NTT DATA methodology • Collaborate with the DHHS and vendors regarding approach to identifying, communicating, escalating, and mitigating project risks • Collaborate with the DHHS regarding agreed-on list of recurring project meetings that IV&V will observe or participate in, onsite and/or remotely, to support IV&V analysis and tasks • Collaborate with DHHS for agreement, and document the agreed-on approach to the development of the deliverables • Draft the IV&V schedule according to DHHS project schedules, including all deliverables and major IV&V activities

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	• Identify project milestones • Develop IV&V Project Management Plan • Submit initial IV&V Project Management Plan for approval within 30 days after project start • Review IV&V Project Management Plan periodically to reflect changes
Project Inputs	• DHHS and vendor project schedules and work plans • IV&V scope of work • Collaborative discussions and agreements with DHHS
Deliverable(s)/Work Products	• IV&V Project Management Plan (initial) • IV&V Project Management Plan (subsequent updates)

2. Must develop IV&V project schedule(s) work products a maximum of 30 days after the projects' start and update weekly IV&V schedules that coordinates IV&V activities with project schedules.

The IV&V project schedule(s) includes all IV&V deliverables, such as the detailed IV&V Project Management Plan, Weekly Status Reports, Monthly IV&V Report, Quarterly IV&V Progress Report, and any IV&V assessments. NTT Data's IV&V Team will develop the IV&V project schedule within 30 days after the projects' start and continue to manage it throughout the project lifecycle, so that IV&V tasks and deliverables are marked as completed and the schedule is regularly maintained.

Prior to baselining our IV&V schedule, we will integrate and update our schedule with any other vendors involved with the modular implementations and adjust as necessary. As previously noted, the high-level schedule of IV&V activities depends on the schedule of other vendor activities. The experienced NTT DATA team can accommodate to these schedules and adjust in collaboration with the DHHS.

3. Must develop clear lines of communication and collaborative working relationships with project teams, project leadership, and CMS.

Our clear lines of communication and collaborative working relationships with project teams, project leadership, and CMS will be documented in the IV&V Project Management Plan and delivered to the State. Our plan will contain communications management content according to the PMI PMBOK and DHHS expectations as documented through collaborative working sessions.

NTT DATA will develop a Communication Management Plan as part of the IV&V Project Management Plan. The communication management plan will identify the project stakeholders, their information needs, and lines of communication. The Communication Management Plan will define and provide:

- The methods and activities for timely and appropriate collection, generation, dissemination, storage, and ultimate disposition of project information among the project team and stakeholders
- Types of information to be distributed by the project and audience groups who will be given access to those types of information

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	• Standing considerations and constraints governing the identification, creation, approval, and distribution of all project communications, especially for confidential/sensitive topics • The slate of regularly scheduled meetings, including authorized agendas, meeting minute forms, decision logs, and action items • An inventory of standard communications to be distributed by the project and audiences identified for those communications Our team will manage the overall project communication management plan as a "living document." We will revise the plan as necessary and as project communications needs and circumstances warrant.

Independent Assessment and Quality Assurance

Business Requirements	
Req #	**Requirement**
	Address the bidder's approach to meeting each requirement in a table that contains the requirement and the bidder's approach to meeting the requirement.
IAQ-1	Response: **Approach to Meet the Requirements (RFP V B.2.c.i, V B.2.b.1-17, and VI A.2.a)** In this section we will describe the approach that we will take to meet the requirements per this RFP to provide IV&V services for MLTC. ***Figure 45. Independent Assessment and Quality Assurance RFP Requirements*** 1. Must submit an IV&V Management Plan for each project assigned, which includes specific information on what the contractor will do, periodic reviews, timelines, anticipated resources, estimated hours, and estimated/actual budget information. For each DHHS project, NTT DATA will develop a comprehensive IV&V Management Plan (IV&V Project Management Plan) that is tailored to the specific needs of the project. This plan will describe the methodologies, tools, standards, tasks/activities, milestones, deliverables (including expected format, content, and organization), personnel resources, and schedule for conducting the IV&V assessments/reviews. Our detailed approach to developing the IV&V Project Management Plan(s) is described in Section PM-4.

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	2. Must actively participate in the projects and provide ongoing assessments of the projects to proactively identify risks, issues, and opportunities along with associated recommendations for the project team.
	NTT DATA is committed to raising project risks, issues, and opportunities in a timely manner by scheduling meetings when pressing issues or concerns are identified. Our IV&V Advantage methodology uses a structured approach that facilitates early detection and correction of project risks and issues and identifies opportunities. Being integrated with other project participants through all phases of the project helps our team members identify and propose actions to mitigate problems in real-time. If a problem is detected that presents a significant risk to the project, we will provide an immediate notification via email and follow-up with meetings for review if necessary.
	3. Must assess the progress of the projects against the planned schedules, budgets, and resource utilizations. This will include periodic assessment of the project plan/schedule on a monthly or quarterly basis (schedule will be determined based on what is appropriate for the project timeline).
	To meet this requirement, the IV&V team will assess and make recommendations on the overall health of each DHHS project to verify that effective project management processes are developed, documented, and implemented. Our team will perform a Project Management Health Assessment as part of on-going project oversight activities. A Project Management Health Assessment objectively assesses and evaluates the definition and implementation of project management processes by: • Identifying critical processes that are not operating optimally • Analyzing what is missing from either the process or its implementation • Recommending corrective action to rectify the situation and bring the process up to a necessary and sufficient state • Mentoring the project manager on how to implement recommended corrective action Activities included within the Project Management Health Assessment include: • Integration Management Assessment • Time Management Assessment • Scope Management Assessment • Cost Management Assessment • Resource Management Assessment • Quality Management Assessment • Communications Management Assessment • Procurement Management Assessment • Stakeholder Management Assessment • Risk and Issue Assessment • Deliverable Assessment • APD Assessment Figure 46 further documents our approach to conducting the Project Management Health Assessment.

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Figure 46. Project Management Health Assessment

Focus Area	Tasks
Work Breakdown Activities	• Review relevant project management plans, schedules, and other documentation for each MLTC project team • Observe project meetings for each DHHS project and document observations, risks, issues, and recommendations • Consult with key project stakeholders and assess involvement and buy-in to the project scope and success, alignment of the project scope, and success and alignment of the project to the business needs • Communicate with the project teams for each DHHS project team on business risks and issues, working to verify these risks and issues have been reflected in the overall project schedule and priorities • Work with the project teams for each DHHS project to prioritize requirements based on the needs of the business owners • Conduct interviews with vendors and key project stakeholders • Document assessment results in the applicable IV&V report, including recommendations for improvements
Project Inputs	• Organizational Process Assets (e.g., plans, processes, procedures, tracking systems, databases) • Enterprise Environmental Factors (e.g., legislative activities, Department priorities) • Ongoing communication with key project stakeholders • Vendor project status reports and project meeting notes • Vendor project schedule (work plan) • Vendor project risk register • Vendor issue log • Change requests • Decision log • Corrective Action Plans (CAP) • Lessons learned • IV&V project artifact review results • IV&V product and process evaluations • IV&V meeting notes • IV&V observations and findings of deficiencies • IV&V interview results
Deliverable(s)/Work Products	• IV&V Weekly Status Report • Monthly IV&V Report • Ongoing communication with key project stakeholders

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4. Must assess the projects' resources, managerial responsibilities, and governance structure to identify gaps and provide recommendations.

To meet this requirement, NTT DATA will conduct a project resource management assessment that encompasses State and vendor resources. We recommend conducting the initial assessment at the beginning of the MLTC project to gain a thorough understanding of the governance structures and resource roles and responsibilities. Periodic assessments will be done throughout the project lifecycle as the project progresses through the SDLC and resources need change. Project resources, managerial roles and responsibilities, and governance structure effectiveness will also be observed during the normal day-to-day interactions of our IV&V team with the DHHS projects.

IV&V activities for this task will assess project resource management activities and processes, which include planning resource allocation, acquiring resources, tracking resource usage and productivity, improving allocation, and measuring effectiveness of resources and governance. These activities assess human resources, facilities, equipment, materials, supplies, software, and other resources necessary to complete project work. Figure 47 further documents our approach to conducting the project management resource assessment.

Figure 47. Focus Area – Approach to Conducting Project Management Resource Assessment

Focus Area	Tasks
Work Breakdown Activities	• Select the relevant IV&V Advantage checklist(s) and tailor as needed for DHHS projects • Plan IV&V approach for interviewing stakeholders • Verify appropriate resource management plans and documents are in place and are being followed • Review resource management plans and documents to confirm they adhere to contract requirements, and meet industry best practices, standards, and DHHS expectations • Gain an understanding of the various governance structures for DHHS projects • Verify that governance structures are effective and identify any gaps in the governance structure • Verify roles and responsibilities are documented and include information such as: – Functions assigned to each project role – Authority level (make decision, approve deliverables, etc.) – Assigned duties and work a project team member is expected to complete – Skill and capacity required to complete assigned activities – Duplication and overlaps between project roles • Verify that the proposed staffing levels and skill sets are appropriate • Review organizational structure of the project and verify that lines of reporting and responsibility provide adequate technical and managerial oversight of the project • Identify findings and potential risks associated to inadequate staffing and skills • Verify that necessary resources are acquired to complete project work • Document findings and recommendations
Project Inputs	• Project governance structure information

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	• Resource management plans • Staffing plans • Project artifacts and work products • Risk and issue logs • Vendor contracts • IV&V interview observations and results obtained from conducting interviews • IV&V meeting observations for DHHS projects
Deliverable(s)/Work Products	• Project resource management assessment results and recommendations

5. Must participate in all project meetings unless otherwise directed by DHHS.

NTT DATA agrees to meet this requirement and will attend project meetings to monitor project activities and observe. IV&V attendance in meetings has multiple purposes in addition to providing our teams an understanding of the processes, procedures, and tools used in the project environments, meetings provide a venue to review, discuss, and update risks, and to observe stakeholder and staff interactions. For each meeting, we will complete a Meeting Worksheet and document the purpose of the meeting, meeting discussion, results and observations, decisions, risks, issues, action items, and reference materials.

6. Must perform an independent assessment of issues where the implementation contractors and DHHS' project management organization disagree and provide the results of the assessment and recommendation to DHHS leadership.

NTT DATA understands that the number one priority of IV&V is to be independent in their assessments and to provide recommendations that are in the best interest of the project, regardless of where an issue lies. We understand there may be times when implementation contractors and DHHS may disagree. If this situation arises, IV&V will use our product review and process evaluation methodology to thoroughly analyze the facts, risks, issues, impacts, and alternatives of the disagreement, and document and provide a recommendation to DHHS leadership. The recommendation may or may not align with the position of either party—to be truly independent, the recommendation will not be biased by party, but instead, predicated only on what is in the best interest of the overall project.

7. Must perform one or more reviews of project deliverables and work products including but not limited to infrastructure, system documentation, design, working code, test scenarios, test cases, test results, plans, etc. and provide a detailed assessment of the quality of the deliverables and work products along with recommended changes. Assessment must include a recommendation on whether DHHS should approve the work product or deliverable. Review must address at minimum the following attributes:

- Traceability and adherence to requirements
- Clarity, Completeness, Consistency, Quality, Adherence to applicable laws, rules, and guidelines

Reviewing project deliverables is a cornerstone within our IV&V methodology. NTT DATA's IV&V assessment of project work products and deliverables verifies that the product or deliverable was written in accordance with contractual requirements and meets industry

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best practices, standards, federal and state regulations, and client expectations. Using IV&V checklists and a Product Review Worksheet, our analysts will document the review approach, provide a summary of the review, and document review results, observations, and reference materials. NTT DATA will work with DHHS to tailor our deliverable review process to meet the needs of the MLTC projects.

NTT DATA has reviewed and delivered thousands of deliverable assessments to our clients. We know how to manage and complete the volume of work to provide essential on-time feedback. We also recognize the importance of an objective, thorough review of work products and deliverables, especially within DHHS, where responsibility for the work may not belong to a single entity. Each deliverable review will provide an independent, detailed evaluation aong with a recommendation on whether to accept or reject the deliverable. Additional information on deliverables and work product reviews related to system and testing artifacts can be found in Section OSR-1. Additional information on NTT DATA's approach to conducting project artifact reviews can be found in Section IAQ-1, Requirement 8.

8. Must assess project plans, processes and procedures to identify improvements and whether they are being followed.

The NTT DATA IV&V methodology includes an assessment of a project's plans, products/tools, processes, and procedures. The assessment observations are measured against approved policies, procedures, processes, and industry standards or best practices. A deficiency in any of these areas, including adherence, are documented as an observation or finding in an IV&V Assessment report, with a recommendation on how to improve or eliminate the deficiency.

The NTT DATA IV&V team will conduct project artifact reviews to assess project plans, processes, and procedures using customized checklists specific to the DHHS projects. IV&V Advantage checklists contain questions that adhere to government and industry best practices and standards, and will serve as the foundation for developing DHHS-specific artifact review checklists.

The IV&V team will report the outcome of the artifact review using our Project Artifact Review Report. This report provides a summary of the methods used to review the artifact, risks and issues identified as part of the review, and a summary conclusion of whether the deliverable meets industry standards and best practices. The report also includes the completed checklists used for the review and the completed comment log that documents IV&V's comments and recommendations for resolution. NTT DATA will collaborate with the DHHS project teams to align the reporting process and method of documenting review comments with the needs and procedures of each DHHS project. Figure 48 further documents our approach to conducting the project artifact review.

Figure 48. Approach to Conducting the Project Artifact Review

Focus Area	Tasks
Work Breakdown Activities	• Obtain client approval of Project Artifact Review Report template • Obtain/develop comment log • Gather resource material relevant to the artifact (e.g., project documents, meeting notes, change requests) • Assess the scope and complexity of the artifact to determine the approach for completing the review within the stated timeframe

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	• Review project artifact for: – Compliance with the vendor's project management plan – Compliance with agreed upon template – Compliance with applicable industry standards and best practices – Compliance with the deliverable RFP requirements • Review project artifact for completeness, adequacy, and consistency: – Completeness – Does the project artifact contain all the content that is to be in that specific artifact? – Adequacy – Does the project artifact meet the objectives of the specific artifact and align with the project needs? – Consistency – Is the content in the project artifact consistent with all the other project activities and artifacts? • Review project artifact for timeliness – Was the artifact delivered on time? • Document specific findings in comment log • Document identified issues • Document identified risks • Document recommendations • Prepare and submit IV&V Project Artifact Review Report • Deliver report to designated stakeholders • Any issues, risks, findings, or recommendations related to project artifacts will be included in the IV&V Weekly Status Report. For example, these issues can be related to planning, preparation, delivery timelines, or overall quality of deliverables.
Project Inputs	• Key project artifacts as listed above • Source material relevant to the artifact (i.e., contracts, meeting notes and artifacts, requirements gathering session artifacts, JAD session artifacts, project WBS, risk/issue registers, decision logs, approved change requests)
Deliverable(s)/Work Products	• IV&V Project Artifact Review Report • Deliverable Review Response Log (comment log) • IV&V Weekly Project Assessment Report

9. Must assess project change orders for the following:
- The change order is following the approved change management plan and processes.
- The change order is within the scope of the existing contract.
- Cost and resource estimates for the change order are reasonable.
- Recommendations for alternate approaches to achieving the outcome of the change order.

As part of our IV&V process evaluation, NTT DATA will evaluate the change order process for each DHHS project to verify it is following the approved, documented processes in the project's Change Management Plan. In addition, our IV&V team will analyze

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whether a change order is in or out scope, its relevance, positive impact to business, impact to schedule, risks, issues, and possible alternatives to the outcome of the change for each change order created.

As an experienced IV&V partner, we understand that scope creep is one of the primary drivers for exceeding planned project budgets and schedules. As a result, our team is very diligent about accurately assessing and appropriately assigning scope status. Scope can increase or decrease, so understanding the implications of both is critical to reporting the appropriate status.

As part of our IV&V process evaluation, we evaluate the change order process to verify it follows the approved and documented processes in the Change Management Plan. In addition to evaluating the change order processes, our IV&V team analyzes whether each change order has been fully documented with information indicating whether it is in scope or out of scope; its relevance; positive impact to business; impact to other parts of the project and system, including the project schedule; and includes risks, issues, and possible alternatives to the outcome of the change. In addition, if costs and resources are proposed, we include a reasonability test for the cost and resource. Approved change requests are examined to assure that associated documentation is updated accordingly.

With multiple concurrent MLTC projects and a multi-vendor environment, it is important for IV&V to document upstream and downstream impacts of change orders for DHHS consideration.

NTT DATA closely monitors and reports on scope management as one of the PMI PMBOK areas as noted in the Project Scope Management Processes. Our IV&V team will review all change requests and scope management processes at least monthly. Our team will document the outcomes of the review in the IV&V Report.

10. Must comply with IV&V regulatory requirements detailed in 45 CFR 95.626.

NTT DATA understands and complies with the IV&V regulatory requirements detailed in 45 CFR 95.626. NTT DATA understands that IV&V is required for a major Medicaid IT project that meets certain criteria under regulation at 45 CFR 95.626. The IV&V vendor represents state and CMS interests throughout the project, and provides an independent perspective on the progress of system development and the integrity and functionality of the system. To establish independence, the IV&V vendor must not report to the same agency or department that oversees the Medicaid program.

The NTT DATA IV&V methodology will include assessing both the management and technical aspects of the DHHS projects, which will align with the requirement in this federal regulation. The assessment will include assessing both the State and vendor, as they are both critical stakeholders within the projects.

The NTT DATA IV&V staff has experience conducting IV&V assessments of artifacts, deliverables and work products, project management, and SDLC execution using checklists developed by NTT DATA and the project managers that are based on industry standards, best practices, federal and state legislative compliance, and state administrative standards (including but not limited to 45 CFR 95.626). As required by 45 CFR 95.626, the results of the assessments will be provided in the Monthly IV&V Report and directly to the State and CMS.

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11. Must identify areas of unnecessary duplication and overlap between roles on the projects.

During project start up and throughout the project, NTT DATA will work collaboratively with DHHS and vendors to:

- Understand organizational project team member knowledge
- Understand high-level DHHS vendor and organizational implementation timelines
- Identify gaps in subject matter expertise
- Identify quantity of work by anticipated activity completion dates
- Determine the quantity of staff required to achieve implementation timelines

From these collaborations, reviews of vendor project schedules, and Responsible, Accountable, Consulted, Informed (RACI) charts, our IV&V team will identify any redundancies of roles or inefficiencies in project team(s). If deficiencies are identified, they will be reported as part of the standard IV&V reporting process to DHHS, and a recommendation will be provided to improve or eliminate the deficiency. Section IAQ-1, Requirement 4, describes NTT DATA's approach to assessing resource management. This assessment will also identify potential duplication and overlaps between project roles.

12. Must assess and verify requirement traceability throughout the project and system development lifecycle of the projects. Assessment and verification will occur periodically as appropriate for the project timeline.

NTT DATA will assess and verify project requirements throughout the system development lifecycle of projects as appropriate. We will provide active oversight to address all functional areas, federal and state regulations, project requirements and constraints. Our team will verify that all requirements for each vendor are captured, as well as clearly stated and stored.

The IV&V Advantage requirements verification assessment methodology confirms a requirements management process is in place and provides steps for assessing the results of requirements validation sessions, requirements-related vendor deliverables, and the Requirements Traceability Matrix. Figure 49 further documents our approach to requirements verification, including requirements traceability.

Figure 49. Approach to Requirements Verification

Focus Area	Tasks
Requirements Management Verification	• The requirements management process will be evaluated in terms of completeness, adequacy, and consistency: – Completeness – Does the requirements management process definition cover all elements of a standard requirements management process? Are processes executed completely as defined? – Adequacy – Does the process definition meet the objectives of a standard requirements management process definition? Does the execution of each process accomplish its objectives? – Consistency – Are processes defined and executed in a consistent manner across all project activities?

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	• Review the Requirements Management Plan or related documentation to verify the project's processes and procedures for managing requirements • Attend meetings, conduct interviews, and review related documentation to determine if the defined processes are the actual practices • Evaluate requirements management processes to determine adequacy, risks, issues, and areas of improvement • Clarify critical or missing information with the project team • Document findings and recommendations, and integrate into Project Assessment Report
Requirements Validation	• Verify that an analysis of state and federal needs and objectives has been performed to verify that system requirements are well understood, well defined, and satisfy state and federal regulations • Using the Requirements Evaluation Checklist, evaluate the requirements for correctness, consistency, completeness, accuracy, readability, and testability
Requirements Traceability and Allocation	• Review requirements allocation documentation • Document and allocate all requirements identified in RFP • Verify requirements are allocated to appropriate sub-system or business area • Review the Requirements Traceability Matrix and track all the RFP requirements • Verify the mapping method is logical and can be maintained throughout the project • Analyze identified relationships for correctness, consistency, completeness, and accuracy • Identify all system requirements that will be implemented completely or partially by software, and verify these system requirements are traceable to acquisition needs • Verify forward and backward traceability (Backward traceability is performed to trace each requirement back to the foundational or authorizing documents for the project, such as a RFP or contract amendment. Forward traceability requires that each requirement is traced to artifacts developed during each successive development phase.)
Project Inputs	• Requirements Management Plan • RFP and SOW • Validated Functional and Technical Requirements • Validation session meeting notes and artifacts • Requirements Traceability Matrix • Functional Design Document • Technical Design Document • Application Functionality • System Testing Plan • System Test Results • Other project artifacts (as applicable)
Deliverable(s)/Work Products	• Project Assessment Report • Deliverable Review Report (as required)

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13. Must develop and monitor project performance metrics which allow tracking project completion against milestones.

Throughout the project our IV&V team will use project performance metrics to verify that projects remain within budget, on schedule, within scope, and deliver the desired outcomes.

These metrics will include:
- Schedule Performance Index (SPI)
- Cost Performance Index (CPI)
- Actual Cost of Work Performed (ACWP)

We will also track metrics to measure project progress towards the MLTC desired project outcomes and objectives.

We recognize that no two projects, portfolios, or clients are alike. NTT DATA's IV&V Advantage methodology for the development of project performance measurements and metrics employs the following four steps:
- Develop Performance Framework
- Define Performance Measures
- Determine Methods and Tools for Measurement Program
- Implement Measurement Reporting

To develop the Performance Framework, our IV&V team will work closely with State leadership for each DHHS project and identify the measures that best represent project status based on desired outcomes to be achieved. A determination of the methods and tools to be used by our team to assess project performance requires a determination of the technology for aggregating and analyzing performance data sources and inputs. Technology options vary depending on the specific measure, but most commonly include:
- Excel
- DDI Contractor Tools
- SharePoint
- Surveys
- Business Intelligence Software

To implement measurement reporting, our IV&V team collects and analyzes the data to identify trends and opportunities for improvements and corrective actions. Multiple methods for data analysis are employed and depend upon the selected metrics. A sample set of metrics that are frequently applied to assess project performance is provided in Figure 50.

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Figure 50. NTT DATA Sample Project Metrics

Project phase	Metric	How calculated	Purpose
Ongoing	Estimated/planned versus actual durations, with target milestones/dates	Estimated/planned versus actual durations, with target milestones/dates	Monitor schedule variances and participant performance to plan
Ongoing	Burndown	For agile projects, Sprint Burndown and Velocity	• Monitor; evaluate feasibility of team's capacity to complete planned sprints (scope and schedule)
Ongoing	Planned/budgeted versus actual costs	Planned/budgeted versus actual costs	• Monitor sufficiency of project budget
Ongoing	Earned Value Measurement (EVM) using Schedule Performance Index (SPI), Cost Performance Index (CPI), and Finish Variance	Work with the Agency to determine the appropriate calculation that applies EVM to the Agency projects in a meaningful way	• Assess the SPI and CPI that are calculated in the project schedule at any point in time, compare the work completed to the work planned • Normalized values for program level EVM using schedules from multiple projects are calculated using the average of the earned value metrics from each baselined schedule
Ongoing	Number of issues, average time to close, issue aging	• Simple count of issues • Monitor time to close issues from date of identification to closure • Categorize issues according to 30, 60, 90, 120 days open	• Monitor effectiveness and efficiency of the issue management process • Monitor the progress of issue resolution
Ongoing	Number of open action items, time to close, action item aging	• Simple count of action items • Monitor time to close action items from date of identification to closure • Categorize action items according to 30, 60, 90, 120 days open • Categorize action items by business area (or subsystem)	• Monitor effectiveness of the action item management process • Monitor the progress of action item completion

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Requirement Verification	• Number of requirements that were verified • Percentage of verification complete	• Simple count • Number of requirements verified compared to total requirements	Monitor progress of requirements verification according to plan
Design	Number of use cases written compared to identified (estimated/ anticipated) as needed	• Simple count • Number of use cases compared to total requirements	Monitor progress of use case development according to plan
Design	Numbers of letters, reports, notifications	Simple count, count by status if necessary	Monitor progress of the design of letters, reports, notifications

14. Must submit criteria for approval for defining a Critical Incident which could adversely affect the outcome of the projects.

Critical Incident Response
We understand the extreme importance of reporting on critical incidents immediately to the right stakeholders at DHHS, so that immediate corrective response can be taken.

Our team will define the criteria for critical incidents, which are likely to adversely affect the outcome of the projects in the Communication Plan within the IV&V Project Plan. Our team will submit this plan to the Department for review, input, and signoff within 30 days of contract start.

We define critical incidents that will adversely impact project outcome as issues or events, which are critical in terms of impact and severity where a feasible response plan is not identified to prevent deviation from defined project objectives. We will align the definition to the Department's definition and receive approval from the Department through the IV&V Project Management Plan deliverable.

15. Must notify the Department immediately when the IV&V Contractor discovers any Critical Incident. Provide a Contractor Critical Incident Report for each Critical Incident that summarizes the incident, how it may affect the project, notes any discrepancies found by the IV&V Contractor and provides a proposed action plan to resolve the incident and mitigate its impact.

Our IV&V team will communicate critical incidents, which could adversely affect the outcome of projects immediately to the appropriate stakeholders once identified in the form of a Contractor Critical Incident Report that we will also define in the Communications Plan. Our team will develop, document, and provide a process for reporting critical incidents in the Communication Plan within the IV&V Project Plan, including defined escalation procedures, which will include identification of appropriate DHHS staff to notify in the event of an identified critical incident and the report format for the Contractor Critical Incident Report. Our team will submit this plan to the Department for review, input, and signoff within 30 days of contract start.

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	Any privacy incident observed by our team (including potential breach of PHI) as defined per HIPAA will be addressed in accordance with both DHHS and NTT DATA privacy and security policies, and will be reported to the Department's privacy officer. The process will be defined in the IV&V Project Management Plan. 16. Must interview and observe project management staff and developer staff and observe project meetings and activities to understand the process, procedures, and tools used. The NTT DATA IV&V methodology includes assessment reporting based on observations of project meetings, people, products/tools, processes, and procedures. The observations are measured against approved policies, procedures, processes, project and industry standards, and best practices. A deficiency in any of these areas will be documented as an observation or finding in an IV&V Assessment report, with a recommendation on how to improve or eliminate the deficiency. When necessary, interviews will be conducted and documented. 17. Must review and analyze all applicable and available documentation for adherence to accepted, contractually-defined industry standards. Refer to IAQ-1, Requirement 8 for NTT DATA IV&V methodology for assessment of a project's plans, products/tools, processes, and procedures.
IAQ-2	Describe the bidder's approach in detail to IV&V including: a) project participation at the level of detail necessary to assess the project's health; b) risk, issue and opportunity management; c) deliverable review and reporting of deliverable findings Response: **IV&V Approach (RFP V B.2.c.ii)** Our proven IV&V Advantage methodology is key to our success in providing oversight for IV&V projects across multiple state agencies and will be leveraged from day one for Nebraska. This methodology is highly adaptable and is based on industry, federal, and state standards and best practices for providing IV&V services. Using our IV&V assessment checklists, our analysts document the review approach, a summary of the review, product review results and observations, and reference materials. Section 2.2 describes our approach to providing IV&V services for Nebraska. **Project Participation at the Level of Detail Necessary to Assess the Project's Health (RFP V B.2.c.ii.a)** To assess the overall project health of the DHHS projects, we will use our IV&V Advantage framework described in Section 2.2 to perform several types of assessments for the DHHS projects. We employ the same methodology across all assessments and reviews. We will conduct reviews of deliverables and work products using checklists tailored for the DHHS projects.

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NTT DATA IV&V checklists are organized into four core areas. NTT DATA will review the project management and technical aspects of the DHHS projects using the Management Checklists, Development Checklists, and the Implementation Checklists described below.

Management Checklists
These checklists assist with monitoring and assessing project management plans, standards, practices, and procedures to verify they comply with established governance structures and protocols (including, in this project, OIT standards and specifications). Features include:

- Compliance with governance structures and protocols
- Stakeholder buy-in and commitment
- Compliance with estimating and scheduling processes
- Adequate time and resource levels
- Milestones and completion dates
- Risk and issue tracking
- Quality assurance and quality control
- Change management
- Configuration management
- Communication management

Development Checklists
These checklists assist with monitoring and assessing various phases of the systems development lifecycle, including the deliverable review process, to provide quality products and processes. Features include:

- Functional and technical requirements compliance
- Architecture and design
- Development guidelines and conventions
- System design and development
- Interface design and development
- Requirement traceability
- System performance
- Capacity planning
- Testing planning, execution, and results

Implementation Checklists
These checklists assist with monitoring and assessing implementation tasks and system readiness so that stakeholders are ready to implement. Features include:

- Data cleansing
- Data conversion
- Release planning
- User training
- Developer training
- Implementation execution

Operations Checklists. These checklists assist with monitoring and assessing the preparedness of operations to confirm that the system performs as expected and program goals are met. Features include:

- Operational and maintenance plans
- Disaster recovery
- Configuration management
- Change tracking
- Customer and user management
- Operational goals

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A detailed description of NTT DATA's approach to assessing project management health can be found in Section IAQ-1, Requirement 3. Detailed descriptions of NTT DATA's approach to performing technical assessments for operations and system readiness can be found in Section OSR-1, Requirements 1-4.

Risk, Issue and Opportunity Management (RFP V B.2.c.ii.b)

NTT DATA will assess and mitigate project risks to promptly address all risks. The four main activities we perform involve creation of our own Risk Management Plan, a review of the project's Risk Management Plan, ongoing assessment of the Risk Management Process, and an independent assessment of new and existing project risks. Figure 51 documents our methodology for ongoing Risk Management Assessment activities. An example of reporting opportunities or positive risks is provided in Section IAQ-4.

Figure 51. Methodology for Ongoing Risk and Issue Management Assessment Activities

Focus Area	Tasks
Work Breakdown Activities	• Develop Risk Management Plan within the overall IV&V Project Management Plan • Document the plan to provide ongoing risk management assessments, including outlining potential risks, preventive actions, forewarnings, and mitigation strategies • Review Risk and Issue Management Plan(s) for each DHHS project and document results in Product Review Worksheet • Examine, monitor, evaluate, and report on project-wide management risks and issue management processes • Review documentation and other artifacts, observe and conduct interviews, and attend meetings to compile the data needed for evaluation (the information gathered will include both defined processes and actual practices) • Evaluate risk management processes in terms of completeness, adequacy, and consistency • Document process evaluation results in Process Evaluation Worksheet • Perform independent assessment of existing project risks and issues, as well as identification and assessment of new project risks and issues • Review relevant project management plans and other documentation • Attend Risk and Issue meetings • Conduct interviews with management • Document assessment result in appropriate output report; at a minimum the risk assessment results will include: – New risks and issues identified – Changes to existing risk and issue status and attributes (e.g., priority, mitigation plans, contingency plans) – Analysis of the highest-ranking project risks and issues
Project Inputs	• Risk and Issue Management Plan(s) • IV&V assessment results of project products and processes

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	• IV&V common project risk database
Deliverable(s)/Work Products	• Project Risk Log (Updated and New Risks) • Project Issue Log (Updated and New Issues) • Completed product review • Project Artifact Review report

Figure 52. Issues Log Example

Description	Date Identified	Opportunity / Threat	Priority	Recommended Response
The planned EVV implementation date of September 2021 is beyond the GFE approved deadline of 01/01/2021 for PCS services. The State is likely to receive quarterly FMAP reduction penalties on PCS for the time period between the 01/01/2021 deadline and full EVV compliance for PCS services as per section 12006(a) of the 21st Century Cures Act (Cures Act)	07/27/2020	Threat – The State is unable to implement EVV prior to the federally mandated deadline.	2 – High	IV&V understands the need to complete a pilot and soft-launch for a successful EVV implementation and will continue to monitor this issue to identify opportunities for mitigation. Additional discussion about mitigation of FMAP reduction penalties are provided in this report.

Figure 53. Risk Log Example

Description	Date Identified	Opportunity / Threat	Probability	Impact	Recommended Response
Potential challenges in successful adoption of EVV for self-directed users under the 1915(c) waiver program.	11/23/2021	Threat – EVV adoption for members in the self-directed program is critical to project success. This is proving challenging in other states.	3 – Medium	2 – High	**07/28/2021:** IV&V recommends that the State tailors communications and training and makes design considerations for needed flexibility based on realistic scenarios for the self-directed program. There would be a benefit to engaging self-directed members in the project, as well as reaching out to other states for guidance on successful approaches to support the self-directed member population.

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Risk and Issue Rating

The overall priority of an IV&V Project Issue is identified by selecting its impact and time criticality. The following table documents the NTT DATA IV&V methodology for assigning a priority to IV&V Project Issues.

Figure 54. NTT DATA IV&V Methodology for Assigning a Priority to IV&V Project Issues

Time Criticality	Degree of Project Impact	Overall Priority
Immediate or Short Term	1 – Critical	1 – Critical / Urgent
Long Term	1 – Critical	2 – High
Immediate or Short Term	1 – Critical	
Long Term	2 – High	
Immediate or Short Term	2 – High	
Immediate or Short Term	3 – Medium	3 – Medium
Long Term	2 – High	
Immediate or Short Term or Long Term	2 – High	
Long Term	3 – Medium	
Immediate or Short Term or Long Term	3 – Medium	
Immediate	3 – Medium	
Immediate	4 – Low	
Short Term or Long Term	3 – Medium	4 – Low
Immediate or Short Term or Long Term	4 – Low	
Immediate or Short Term or Long Term	4 – Low	

Time Criticality

- **Immediate**. IV&V Project Issue impacts the project now, or will impact the project or require resources within the next two months
- **Short Term.** IV&V Project Issue will impact the project within the next six months
- **Long Term**. IV&V Project Issue will impact the project at a future date greater than six months

Impact

- **Critical Impact.** Severe impact to cost, schedule, product quality, stakeholder acceptance, and/or other factors in the project.
- **High Impact**. Significant impact to cost, schedule, product quality, stakeholder acceptance, and/or other factors in the project.
- **Medium Impact**. Moderate impact to cost, schedule, product quality, stakeholder acceptance, and/or other factors in the project.

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	• **Low Impact**. Minimal impact to cost, schedule, product quality, stakeholder acceptance, and/or other factors in the project. **Time Criticality** • **Immediate**. IV&V Project Issue impacts the project now, or will impact the project or require resources within the next two months • **Short Term**. IV&V Project Issue will impact the project within the next six months • **Long Term**. IV&V Project Issue will impact the project at a future date greater than six months **Risk Rating** IV&V Project Risks are rated on probability and impact using the following definitions. **Project Probability Rating** • **Certain Probability**. The risk is realized and will be closed. An item will be added to the issue log. • **High Probability**. Highly confident the negative impact will occur (greater than 80% certainty) • **Medium Impact**. Somewhat confident the negative impact will occur (greater than 50% certainty) • **Low Probability**. Uncertain if the negative impact will occur (less than 50% certainty) **Impact** • **Critical Impact**. Severe impact to cost, schedule, product quality, stakeholder acceptance, and/or other factors in the project. Immediate time criticality. • **High Impact**. Significant impact to cost, schedule, product quality, stakeholder acceptance, and/or other factors in the project. Short term time criticality. • **Medium Impact.** Moderate impact to cost, schedule, product quality, stakeholder acceptance, and/or other factors in the project. Short term or long term time criticality. • **Low Impact**. Minimal impact to cost, schedule, product quality, stakeholder acceptance, and/or other factors in the project. Long term time criticality. **Deliverable Review and Reporting of Deliverable Findings (RFP V B.2.c.ii.c)** Refer to Section IAQ-1, Requirement 8 for NTT DATA IV&V methodology for assessment of a project's plans, products/tools, processes, and procedures.
IAQ-3	Explain past challenges and common issues along with the recommendations provided to address the issues.
	Response:

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Past Challenges and Common Issues, and Recommendations to Address Issues (RFP V B.2.c.iii)

Challenges Working with Various Entities

Specific challenges and considerations include the following:

- Vendors have different corporate cultures that impact their delivery.
- Vendors have differences in the following practices:
  - Delivery models and methodologies
  - Communication practices
  - Review processes and escalation paths
  - SLAs and performance metrics
  - Individual capability
- Ownership and accountability become difficult, and it can be challenging to identify the points of failure and the responsible vendor without resorting to vendors blaming each other.
- Lack of transparency among vendors can hinder problem resolution. Vendors may withhold information to protect their own position and deflect blame.

Mitigation Strategies for Working with Various Entities

Mitigating the challenges of a multi-vendor platform will not be resolved by the IV&V vendor alone. It requires the following practices:

- Strong governance framework to which all parties are committed
  - The governance processes must provide an effective means to review vendor performance, manage the operational touch points and interdependencies, escalate issues and disagreements, and resolve the inevitable disputes in the operational context.
  - Governance decisions must be routinely visible to project leadership, project teams, operations, and other stakeholders.
  - The framework must focus on deliverables and what is expected of each vendor.
  - The framework must address service level agreements (SLAs) and issue resolution as each vendor, hardware, software, and service or consulting contract is being negotiated to reduce finger-pointing among vendors.
- Strong State leadership and a central point of contact for vendors to provide organizational alignment and commitment
  - Vendors' leadership must work as a team working with and taking direction from the State leader.
  - Project managers and business analysts need to understand the different types of delivery models and work.
  - The State must cultivate a shared culture of success to improve business partnerships between vendors and stakeholders.
  - A master enterprise architect/system integrator is needed to lead continuity between teams and reduce risk to the organization.
- Strong human resources as the major variable in determining the probability of success
  - PM leadership across multiple vendors will be a major factor in success.

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	○ Clearly defined roles and responsibilities support each vendor in understanding requirements and expectations. ○ Creating an integration partner team to act as a liaison between integration, enterprise, and release teams will help address the complexity. ○ Using a common onboarding process for all vendors to streamline the addition of new resources while sharing corporate culture and terminology will support team cohesiveness.
IAQ-4	Provide examples of opportunities or positive risks reporting in past projects where the customer was able to capitalize.
	Response: **Examples of Opportunities or Positive Risks Reporting (RFP V B.2.c.iv)** Our IV&V team will identify and log risks throughout all project phases and follow our risk reporting procedures to assign appropriate severity and impact assessment. We will also provide recommendations for remediation whether it be risk avoidance, acceptance, or mitigation. Having a highly skilled IV&V vendor such as NTT DATA will provide insight into addressing potential negative impact to cost, outcomes, and quality, and identifying opportunities for improvement. It is important that we identify negative risks, which represent a threat to the project. We will also identify positive risks, which present opportunities for MLTC's projects. For example, on a recent EVV project where we were supporting a State client in an IV&V role, we reported a positive risk, noting that Section 12006 of the 21st Century Cures Act defines EVV compliance per full capture of the six required elements for PCS visits but does not include a requirement for claims integration. As our client was being assessed quarterly for FMAP reduction penalties for not meeting their revised January 1, 2021 deadline as per their approved Good Faith Exemption, we logged a positive risk/opportunity to defer the claims submission scope to a later phase and stand up an available EVV platform for visit capture as a phase 1 to expedite compliance with the Cures Act. Since our client's vendor had a COTS solution, without the integration component, it was an easy system standup to make the system available for visit capture without integration to the MMIS. The State took our recommendation and did not receive FMAP reduction penalties beyond the first quarter of 2021 by standing up an EVV system available to all PCS providers and capable of visit capture.
IAQ-5	Provide examples of the bidder's deliverable review findings and issue assessments utilized on previous projects.
	Response: **Examples of Deliverable Review Findings and Issue Assessments (RFP V B.2.c.v)** Appendix G contains an example of a deliverable review finding. Figure 55 is a snapshot of the IV&V Product Review Worksheet with the results of a Coding and Unit Testing Results Document deliverable review. Section IAQ-2 provides an example of an Issue Log documenting the recommended results of the issue assessment.

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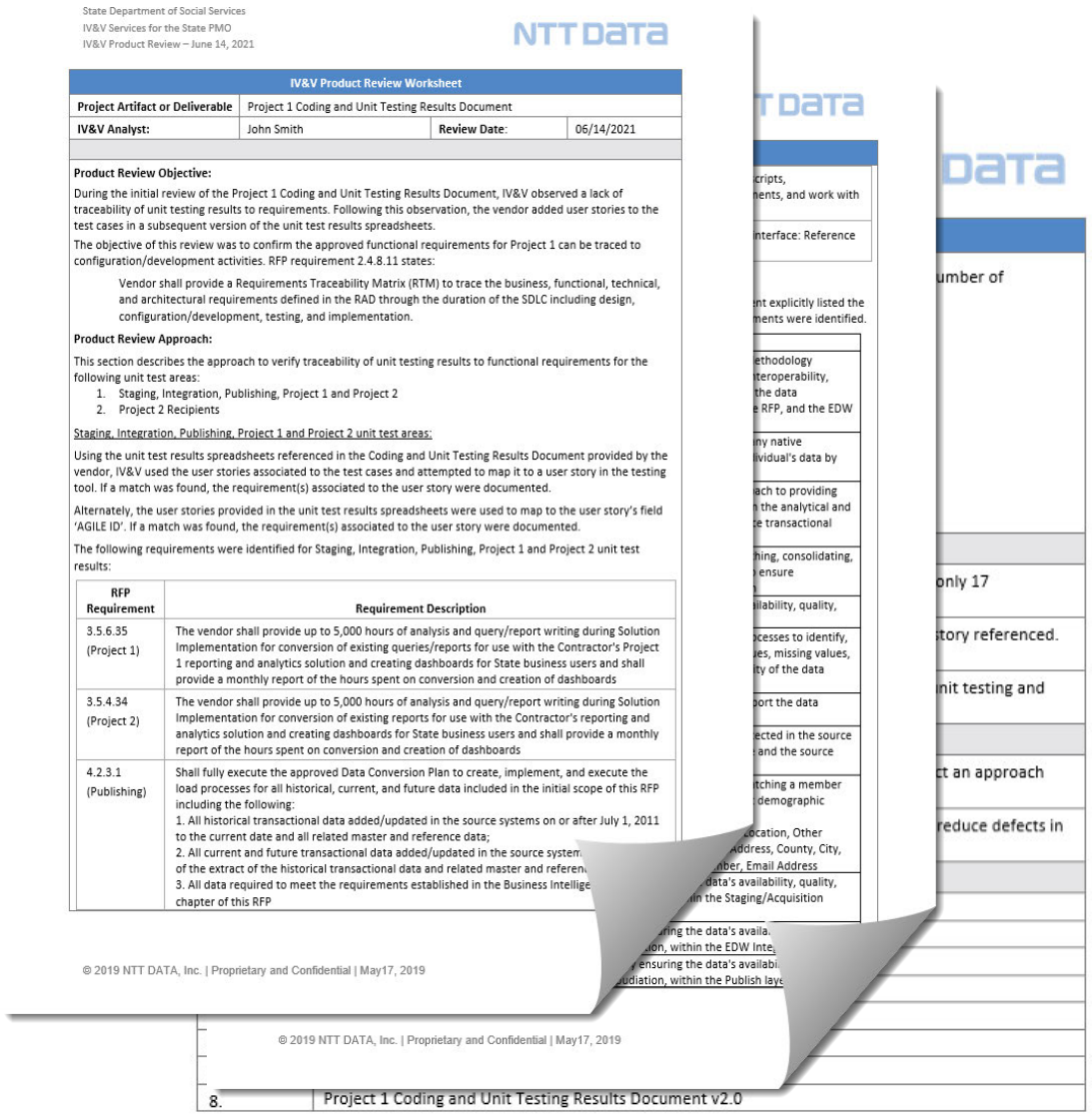

State Department of Social Services
IV&V Services for the State PMO
IV&V Product Review – June 14, 2021

NTT DATA

IV&V Product Review Worksheet			
Project Artifact or Deliverable	Project 1 Coding and Unit Testing Results Document		
IV&V Analyst:	John Smith	**Review Date:**	06/14/2021

Product Review Objective:

During the initial review of the Project 1 Coding and Unit Testing Results Document, IV&V observed a lack of traceability of unit testing results to requirements. Following this observation, the vendor added user stories to the test cases in a subsequent version of the unit test results spreadsheets.

The objective of this review was to confirm the approved functional requirements for Project 1 can be traced to configuration/development activities. RFP requirement 2.4.8.11 states:

> Vendor shall provide a Requirements Traceability Matrix (RTM) to trace the business, functional, technical, and architectural requirements defined in the RAD through the duration of the SDLC including design, configuration/development, testing, and implementation.

Product Review Approach:

This section describes the approach to verify traceability of unit testing results to functional requirements for the following unit test areas:

1. Staging, Integration, Publishing, Project 1 and Project 2
2. Project 2 Recipients

Staging, Integration, Publishing, Project 1 and Project 2 unit test areas:

Using the unit test results spreadsheets referenced in the Coding and Unit Testing Results Document provided by the vendor, IV&V used the user stories associated to the test cases and attempted to map it to a user story in the testing tool. If a match was found, the requirement(s) associated to the user story were documented.

Alternately, the user stories provided in the unit test results spreadsheets were used to map to the user story's field 'AGILE ID'. If a match was found, the requirement(s) associated to the user story were documented.

The following requirements were identified for Staging, Integration, Publishing, Project 1 and Project 2 unit test results:

RFP Requirement	Requirement Description
3.5.6.35 (Project 1)	The vendor shall provide up to 5,000 hours of analysis and query/report writing during Solution Implementation for conversion of existing queries/reports for use with the Contractor's Project 1 reporting and analytics solution and creating dashboards for State business users and shall provide a monthly report of the hours spent on conversion and creation of dashboards
3.5.4.34 (Project 2)	The vendor shall provide up to 5,000 hours of analysis and query/report writing during Solution Implementation for conversion of existing reports for use with the Contractor's reporting and analytics solution and creating dashboards for State business users and shall provide a monthly report of the hours spent on conversion and creation of dashboards
4.2.3.1 (Publishing)	Shall fully execute the approved Data Conversion Plan to create, implement, and execute the load processes for all historical, current, and future data included in the initial scope of this RFP including the following: 1. All historical transactional data added/updated in the source systems on or after July 1, 2011 to the current date and all related master and reference data; 2. All current and future transactional data added/updated in the source system of the extract of the historical transactional data and related master and referen 3. All data required to meet the requirements established in the Business Intellige chapter of this RFP

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8. Project 1 Coding and Unit Testing Results Document v2.0

Figure 55. IV&V Product Review Worksheet

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IV&V Status Meetings and Reporting

Business Requirements	
Req #	**Requirement**
IVV-1	Address the bidder's approach to meeting each requirement in a table that contains the requirement and the bidder's approach to meeting the requirement. Response: **Approach to Meet the Requirements (RFP V B.3.c.vi, V B.3.b.1-6, and VI A.2.a)** 1. Must prepare and submit a weekly status report including activities for the previous week and upcoming activities for the next two weeks that includes the following information: • Project meeting participation including an assessment of completed meetings and any recommendations for improvement. • Planned project meetings for IV&V participation. • Project deliverable review activities. • Risks, issues, and opportunities which are new or have been updated since the previous submission. • Updated IV&V schedule • Critical incidents summarizing the incident, impact to the project, and a proposed action plan to address the incident. • Other IV&V activities as defined by DHHS. NTT DATA will produce a weekly IV&V status report for each DHHS project. The weekly status report details IV&V completed and planned activities for the designated reporting weeks and any issues or risks that would affect our ability to complete the planned work on time. This report will also show NTT DATA's work in relation to the agreed-upon work plan for the IV&V contract. Figure 56 further documents our approach to developing the IV&V Weekly Status Report. ***Figure 56. Focus Area – IV&V Weekly Status Report*** **Focus Area:** **Work Breakdown Activities** **Tasks:** • Meet with DHHS leadership from each project to review requirements and expectations • Develop a Deliverable Expectations Document (DED) • Review DED with the DHHS project leadership and gain approval • Identify accomplishments for the previous reporting week including: – Project meeting participation and associated data (planned and prior attendance) – Project deliverable review activities – New or updated risk, issue, and opportunity data

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	– Updated IV&V schedule – Critical incidents and associated data – Additional activities requested by the DHHS project stakeholders • Identify activities to be performed for the next two reporting weeks including: – Planned project meeting participation – Project deliverable reviews – Planned IV&V assessments – Additional activities requested by the DHHS project stakeholders • Update IV&V team staffing information including: – Assignments and coverage areas – Onsite/offsite schedule – Planned absences and expected return date • Prepare updated IV&V schedule information • Prepare IV&V Weekly Status Report • Submit IV&V Status Report to designated DHHS project stakeholders within one business day from the end of the reporting period, day and time to be established by DHHS.
Project Specific Inputs	• IV&V schedule • IV&V meeting log • IV&V deliverable tracking log • Risk and issue registers • Critical incident log • IV&V team activity tracking log • IV&V team roster and schedule
Deliverable(s) Outputs	• IV&V Weekly Status Report

2. Must submit each weekly status report by the DHHS established day and time. DHHS will allow a minimum of one business day from the end of the weekly reporting period for submission.

Please refer to Figure 56 for a detailed description of the IV&V Weekly Status report, which includes the deliverable submission timeframe. During development of the weekly status report DED, reporting periods and submission deadlines will be discussed with DHHS project leadership and documented. All deliverables and submission expectations will be documented in the IV&V Project Management Plan and tasks are included in the IV&V Project Schedule.

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	3. Must facilitate a weekly IV&V status meeting with DHHS identified project leadership. NTT DATA will facilitate this weekly IV&V status meeting and work with DHHS to identify the appropriate leadership attendees and an agenda. These meetings will be facilitated by the IV&V lead or other designated IV&V team member if the team lead is not available. NTT DATA will capture meeting minutes as described in Item 6.
	4. Must prepare and submit a maximum of five business days after month end a monthly IV&V report that includes the following: •Summary of IV&V activities for the past month. •Summary of IV&V activities planned for the next month. •IV&V assessment of the overall project, schedule, budget, scope, and quality status in comparison to the project teams' reported status clearly identifying any differences along with the reasoning. •Additions or updates to executive level risks, issues, and opportunities along with further recommended actions. •Summary assessment of project deliverables and work products reviewed in the last reporting period. •Other IV&V activities as defined by DHHS. NTT DATA will provide DHHS with a Monthly IV&V Report for each DHHS project, which will include, at a minimum, the items identified in this requirement. This report will be a primary mechanism for the IV&V team to communicate status, findings, and recommendations. The report will objectively illustrate the strengths and weaknesses of the project, and provide a gateway to submit and track findings of deficiencies. The report will also provide consistent and continual communication and coordination between project stakeholders. The report will identify high-risk areas early in the project, identifies deficiencies, makes recommendations to mitigate risks, and resolve issues. The Monthly IV&V Report will: • Provide appropriate context and history to allow the reader to understand assessment results, findings, and recommendations • Include detailed recommendations related to findings • Specify near-term and longer-term actions that the State or project vendors should take to address an existing finding and/or to avert or mitigate downstream risks or issues • Specify the standards on which the assessment or recommendations are based • Recommend measures to assess the progress for the DHHS projects in relation to recommendations • Provide a record of the State and project progress against recommendations As standard procedure with our IV&V reporting methodology, the major project components—including, but not limited to: project, schedule, budget, scope, and quality—will contain a risk rating and trend indicator for the current and previous reporting periods that identity the level of risk associated with that component that could result in a negative outcome, and how the component is trending in the current reporting period as compared to the previous reporting period. Any yellow or red risk rating, or trend indicator suggesting the trend is downward, will be accompanied by a recommendation on how to mitigate or eliminate the risk. Figure 57 further documents our approach to developing the Monthly IV&V Report.

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Figure 57. Approach to Developing the Monthly IV&V Report

Focus Area	Tasks
Work Breakdown Activities	• Meet with DHHS project leadership to review requirements and expectations • Develop a Deliverable Expectations Document (DED) • Review DED with the DHHS project leadership and gain approval • Obtain client approval of DED as part of the approval of the IV&V Project Plan • Review PMO and DDI Contractor project schedule(s) and status report(s) to independently assess overall project status and health • Assess risks and issues; update or add risks and issues as needed; document recommendations for risk mitigation or issue resolution as needed • Monitor progress of integration activities • Utilize agreed-upon metrics to monitor project performance, including feasibility of project schedule • Review project processes to assess overall project health and make recommendations for improvement of both ongoing and phase-specific processes based on observations, industry standards, and best practices • Interview key project stakeholders • Assess whether the State and vendors share a common understanding of project scope, requirements, milestones, deliverables, and entrance/exit criteria • Assess whether user involvement and buy-in is sufficient for successful system adoption • Review project artifacts and deliverables • Prepare IV&V Project Assessment Report • Review and discuss draft report with State Project Manager; edit report as needed to clarify content • Prepare final Project Assessment Report • Submit final Project Status and Progress Report to DHHS project stakeholders, including federal funding partners within five business days following the end of the month
Project Inputs	• Weekly Project Status Reports • Project Schedules • Project Risk Logs • Project Issue Logs • Project Decision Logs • Project artifact and deliverable reviews
Deliverable(s)/Work Products	• Monthly IV&V Report

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	5. Must facilitate a monthly IV&V report meeting with DHHS identified leadership. NTT DATA will facilitate monthly meetings with DHHS project stakeholders to discuss the Monthly IV&V Report following submission of the deliverable to the DHHS project stakeholders. These meetings will be facilitated by the IV&V lead or other designated IV&V team member if the team lead is not available. NTT DATA will capture meeting minutes as described in Item 6. To make best use of attendees' time, we will present the health of the project in a clear and concise manner, with a focus on the highest priority issues that require leadership's attention. These meetings will follow a mutually agreeable agenda and will allow the NTT DATA team and the DHHS project stakeholders to discuss relevant topics such as: • Project progress and status • Project metrics • IV&V findings and recommendations • Compliance with approved project processes • Significant risks • Escalated issues • Quality issues 6. Must create the agenda and take the minutes for any IV&V meetings. For all IV&V-specific meetings, our IV&V team will provide a meeting agenda and produce meeting minutes to distribute to meeting participants and any other designated DHHS staff. NTT DATA will collaborate with DHHS leadership from each project to establish the date and time of meetings, identify meeting participants, and determine meeting agenda items. Meeting minutes will be distributed within the agreed timeframe following the meeting. A list of meetings and corresponding information will be documented in the IV&V Project Management Plan.
IVV-2	Describe the bidder's process for capturing detailed status on project activities (i.e., scheduled tasks, risks, issues, staffing, communications, etc.) at a detailed level and reporting the information as needed based on the reporting audience.
	Response: **Process for Capturing Detailed Status on Project Activities (RFP V B.3.c.vii)** Our methodology for capturing status on project activities will involve the following: • Attendance at project meetings • Conversations and interviews with key project stakeholders • Firsthand observation of actual project management practices and processes • Reviews of key project planning documents • Comparison of documented plans with actual practices • Monitoring previously identified risks and progress of project management toward mitigating those risks

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	• Monitoring previously identified issues and progress toward resolution Section IVV-1 further describes our approach for capturing detailed status information and producing the IV&V Weekly Status Report and Monthly IV&V Report.
IVV-3	Describe the bidder's methods for determining and reporting overall project, schedule, budget, scope and quality status (i.e., determining whether a project is red, yellow, or green, and providing defined criteria as to what constitutes each type of status).
	Response: **Methods for Determining and Reporting Overall Project, Schedule, Budget, Scope and Quality Status (RFP V B.3.c.viii)** NTT DATA uses the tools and techniques in our IV&V Advantage framework for determining and reporting overall project status. Our method for determining project management health is described in Section IAQ-1, Requirement 3. Our approach for reporting overall project status is described in Section IVV-1.
IVV-4	Provide the bidder's status report templates, including instructions and procedures for completing the templates.
	Response: **Status Report Templates (RFP V B.3.c.ix)** NTT DATA understands the importance of frequent updates to DHHS leadership. We will submit a Deliverables Expectations Document (DED) with our proposed templates for the weekly and Monthly IV&V Reports, as well as other IV&V deliverables such as deliverable assessments and schedule assessments. We will incorporate State feedback and make appropriate revisions to the template if desired by the Department. We recommend that the Department review and approve all IV&V deliverable DEDs, as this will be documented in the Deliverables Management Plan section of the IV&V Project Management Plan. The templates for our status reports and examples can be found in Appendix G.

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IVV-5	Provide examples of similar weekly status reports used in previous projects.
	Response: **Examples of Similar Weekly Status Reports (RFP V B.3.c.x)** Appendix G contains examples of weekly IV&V status reports, which we have used on other projects. Figure 57 is a snapshot of the report. We will customize the weekly status report for DHHS, but recommend that at a minimum it includes: • Executive Summary Dashboard with overall project health indicators • Project Schedules and Costs • Project Milestones Deliverables • Planned Activities for the Upcoming Period • Activities Completed in Prior Period or In Progress • Incomplete Activities Scheduled for Current Period • Risks/Issues/Recommendations • Risks Realized (Becoming Issues) • Open Action Items

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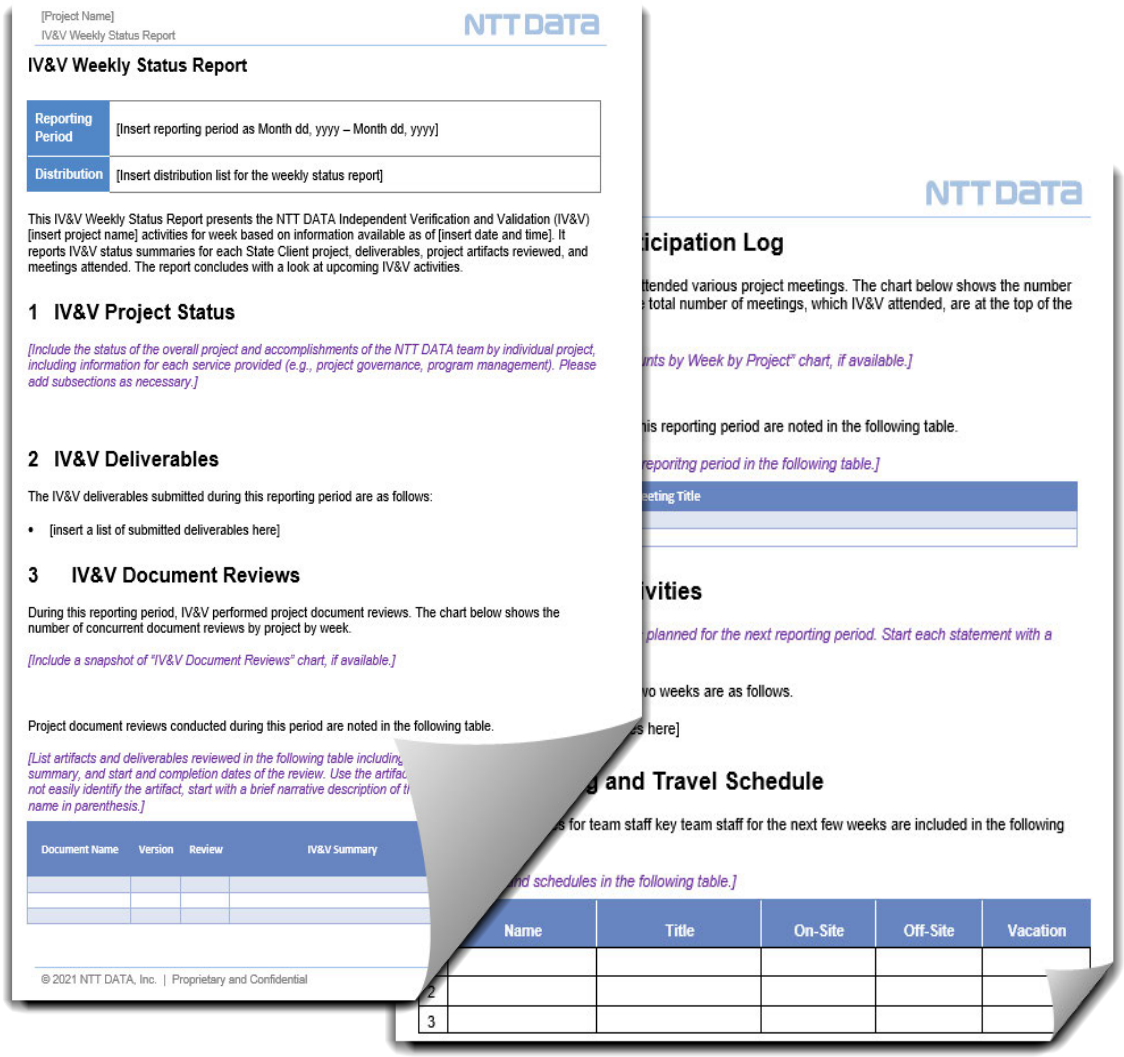

[Project Name]
IV&V Weekly Status Report

NTT DATA

IV&V Weekly Status Report

Reporting Period	[Insert reporting period as Month dd, yyyy – Month dd, yyyy]
Distribution	[Insert distribution list for the weekly status report]

This IV&V Weekly Status Report presents the NTT DATA Independent Verification and Validation (IV&V) [insert project name] activities for week based on information available as of [insert date and time]. It reports IV&V status summaries for each State Client project, deliverables, project artifacts reviewed, and meetings attended. The report concludes with a look at upcoming IV&V activities.

1 IV&V Project Status

[Include the status of the overall project and accomplishments of the NTT DATA team by individual project, including information for each service provided (e.g., project governance, program management). Please add subsections as necessary.]

2 IV&V Deliverables

The IV&V deliverables submitted during this reporting period are as follows:

- [insert a list of submitted deliverables here]

3 IV&V Document Reviews

During this reporting period, IV&V performed project document reviews. The chart below shows the number of concurrent document reviews by project by week.

[Include a snapshot of "IV&V Document Reviews" chart, if available.]

Project document reviews conducted during this period are noted in the following table.

[List artifacts and deliverables reviewed in the following table including summary, and start and completion dates of the review. Use the artifact not easily identify the artifact, start with a brief narrative description of t name in parenthesis.]

Document Name	Version	Review	IV&V Summary

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icipation Log

ttended various project meetings. The chart below shows the number total number of meetings, which IV&V attended, are at the top of the

nts by Week by Project" chart, if available.]

is reporting period are noted in the following table.

reporitng period in the following table.]

eeting Title

vities

planned for the next reporting period. Start each statement with a

o weeks are as follows.

s here]

g and Travel Schedule

s for team staff key team staff for the next few weeks are included in the following

nd schedules in the following table.]

	Name	Title	On-Site	Off-Site	Vacation
2					
3					

Figure 58. Weekly Status Report

IVV-6	Provide examples of the IV&V's previous Monthly IV&V Reports from other projects.

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	Response: **Examples of the IV&V's Previous Monthly IV&V Reports (RFP V B.3.c.xi)** Appendix G contains examples of Monthly IV&V Reports, which we have used on other projects. Figure 59 is a snapshot of the report. The Monthly IV&V Report will provide a more in-depth review of project status and health. We will customize the Monthly IV&V Report for DHHS, but would recommend that at a minimum it includes: • Executive Summary Dashboard • Task Summary • Critical Incident Reports • IV&V Deliverables Summary • Risk Management • Issue Management • Quality Management • Schedule Management • Communications Management • Certification/CMS Updates

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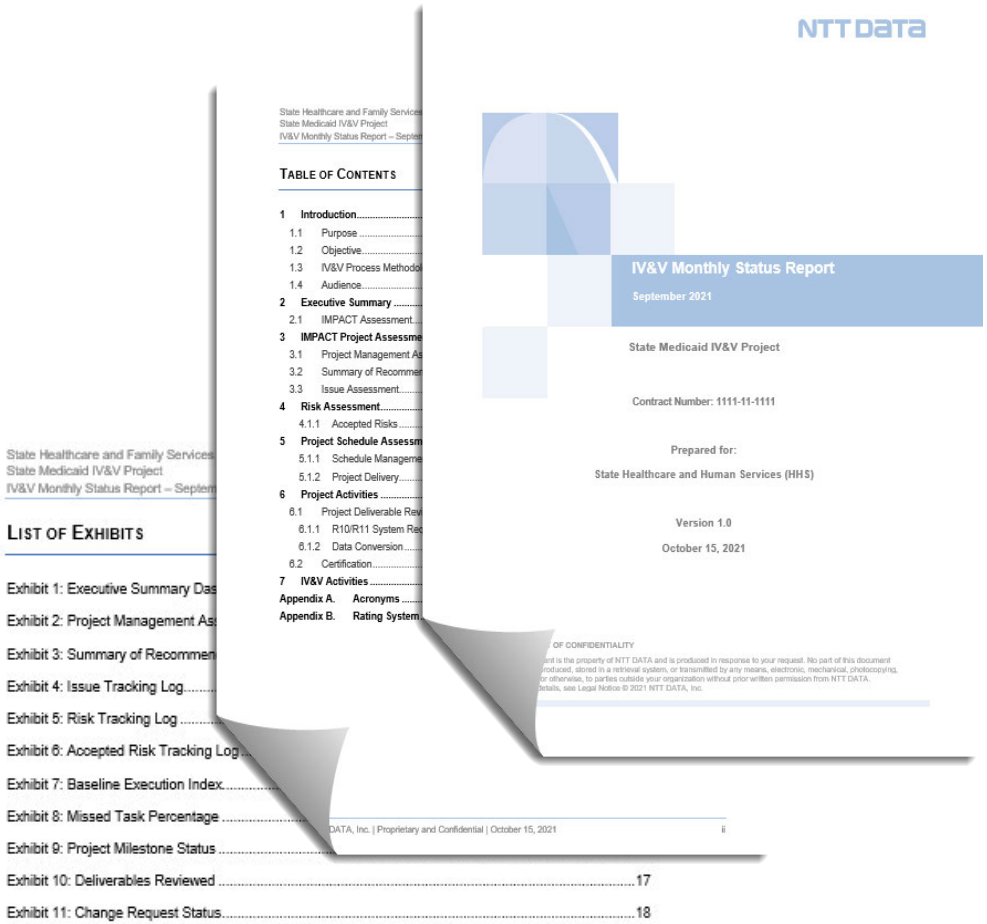

Figure 59. Monthly IV&V Report

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CMS and MITA Compliance

Business Requirements	
Req #	**Requirement**
	Address the bidder's approach to meeting each requirement in a table that contains the requirement and the contractor's approach to meeting the requirement.
CMC-1	Response: **Approach to Meet the Requirements (RFP V B.4.c.xii, V B.4.b.1-13, and VI A.2.a)** ***Figure 60. CMS and MITA Compliance RFP Requirements*** 1. Must provide IV&V services for CMS in support of the MECL in accordance with guidance released in the MECT and guidance from CMS regarding Outcomes-Based Certification (OBC). Based on the responses to the RFP questions, we understand that MLTC will be seeking certification for its MES modules under SMC going forward, with the exception of EVV, which will be certified using OBC as prescribed by the published guidance of EVV Certification Toolkit version 1. Our NTT DATA Certification Excellence Team, methodology and repository of SMC outcome statements, and responses and artifacts will enable us to leverage our experience with SMC activities in other States. We will identify opportunities for MLTC to share with our other state clients and provide recommendations from our experiences so that MLTC has the latest information on CMS revision and refinement trends. Nebraska will benefit from our effective methods and best practices. NTT DATA will approach supporting MLTC's certification effort of all projects and modules by acting as a trusted advisor to the Department and providing guidance, recommendations, and corrective actions to achieve the State's certification goals. We will also provide efficient and effective management of SMC efforts across the modules, and support appropriate reuse of intake responses and evidence to reduce duplication of efforts across the modules/projects. Our approach has been effective in supporting SMC efforts in other States as a result of our independent perspective, industry knowledge, and certification experience across the nation. We have an established library of outcome statements and evidence guidance on producing metrics that the Department can leverage. We also have CEF responses and operational reports with supporting evidence recommendations. MLTC can choose to leverage the process from APD and planning through final certification. We have evidence templates to support the required deployment plan, and the security assessment tools and templates, including penetration testing and web scan reports, System Security Plan (SSP), Security Assessment Report (SAR), and Plan Of Actions and Milestones (POA&M). We are also capable of performing the CMS required independent security assessment as an adjacent activity to our IV&V services. Our IV&V team will provide support early in the projects by engaging during the planning phases. We will review the APDs and provide recommendations regarding CEF responses and State outcome statements. We will leverage our centralized library of CMS approved outcome statements from other States, providing customization to align with MLTC's State priorities and business objectives. We will consider approach, technology, and solution vendor appropriateness in our recommendations.

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	During project procurement, requirements, and design phases we will identify any corrective actions and recommendations in our deliverable assessment reports regarding any gaps with the CEF requirements, CMS required outcome statements, State outcome statements, or potential adverse impact on metric reporting. During DDI through testing, we will utilize our IV&V methodology to support identification of gaps or risks in meeting the SMC outcome statement objectives of the project. These findings will be included in our IV&V deliverable assessments. We will support the State's preparation and follow-up for the ORR milestone submissions and meeting by assessing the intake forms, master testing plan and testing results, defect list, deployment plan, and the SAR report from the independent security audit, as well as the ORR presentation materials, live system demos, and feedback provided to the State prior to CMS/MITRE submission. We will also provide recommendations in response to action items from the ORR, so they can be addressed as follow-ups to CMS/MITRE or revisited during the CR milestone. Similarly, we will support the State preparation and follow-ups for the CR milestone by assessing the intake forms, operational report, metric/KPI report submissions, live demo and CR meeting presentation, and any action items with an independent assessment that will provide recommendations to assist the State in preparation for certification. During operations, while IV&V is engaged, we will provide verification support to quarterly KPI/metrics reporting and recommend any corrective action that will be beneficial to the State. For the EVV project, we will perform these processes described above as per the OBC guidance defined in EVV Certification Toolkit 1.0.
	2. Must periodically, as needed, produce exception-based Certification Progress Reports in the format required by CMS. The report must utilize the MECT checklists and MMIS Critical Success Factors (CSFs) and must objectively illustrate the strengths and weaknesses of the project and provide recommendations for correcting any identified weakness.
	The certification process is evolving away from MECT and the CMS Certification Progress Reports to the SMC approach, so we are adapting with it. We understand there still may be situations where IV&V provides Exception Based Certification Progress Reports to CMS if specified in the APD. We will provide any of these or other reports/artifacts to CMS if required per APD or requested by the State Officer for MLTC. In most current situations, considering that MLTC is certifying under SMC, the Department will be requested to directly provide a monthly progress report to CMS regarding the health of the project, Master Test Plan and Testing Results, Defect and Risk List, and Roadmap/Timeline. We are committed to support this process in any way needed as Nebraska transitions to SMC, understanding the CMS State Officers are offering flexibility in the transition from MECT/MEET to the new streamlined processes.

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	Our IV&V lead will also provide updates on the State's monthly call with the CMS State Officer, if requested, and review status reporting with the Department prior to the meeting to keep the Department updated regarding our team and CMS.
	3. Must submit the monthly IV&V report to CMS.
	Under SMC, there are still situations where IV&V provides monthly or quarterly status reports to CMS if specified in the APD. We will provide any of these or other reports/artifacts to CMS if required per APD or requested by the State Officer for MLTC. In most situations, the Department will be requested to directly provide a monthly progress report to CMS regarding the health of the project, Master Test Plan and Testing Results, Defect and Risk List and Roadmap/Timeline. We are adaptable to support this process in any way needed as Nebraska transitions to SMC, understanding the CMS State Officers are offering flexibility in the transition from MECT/MEET to the new streamlined processes. Our IV&V lead will also provide updates on the State's monthly call with the CMS State Officer if requested and will review status reporting with the Department prior to the meeting to keep the Department updated regarding our team and CMS.
	4. Must participate in meetings with CMS as directed by CMS or DHHS.
	As we do with many of our other clients, we will support the DHHS team in meetings with CMS, including preparations for the meeting, supporting discussions, and participating in follow up activities. Our team has experience communicating with CMS regarding the following: • Project progress and status • Project metrics • Compliance with approved project processes • Significant risks • Escalated issues • Quality issues • IV&V findings and recommendations We currently meet with the CMS State Officer providing status updates in most of our IV&V engagements including, but not limited to, Georgia, Florida, District of Columbia, and Missouri, which is the same CMS region as Nebraska.
	5. As directed by DHHS, must coordinate, and participate in the planning, preparation, and performance of CMS project reviews (readiness reviews, certification reviews, etc.).
	MLTC is seeking certification for its MES modules under SMC. Under SMC, the role of IV&V has pivoted to an independent assessor and trusted advisor on behalf of the State, and the IV&V contractor is now permitted to consult with the State regarding the certification process. NTT DATA is accustomed to meeting the requirements of CMS in our role as the IV&V vendor and will meet this requirement as directed by DHHS.

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	6. In preparation for certification milestone reviews, must evaluate documents and evidence along with any working modules / code applicable to that particular review, and complete the reviewer comments portion of the relevant Medicaid Enterprise Certification Checklists. The completed checklists are appended to the Certification Progress Report. Progress report must be delivered with the necessary lead time as required by CMS prior to the scheduled MMIS certification milestone review. The certification progress reports must be provided to CMS at the same time they are presented to the state.
	IV&V plays a significant role in the CMS Certification process. Our IV&V team will directly represent the interests of CMS and DHHS by providing an independent and unbiased perspective on the progress of MMIS development and the integrity and functionality of the system. We will participate in SDLC gate reviews and inform CMS and DHHS of significant risks or issues as system modules are planned, developed, and deployed. We will review test cases and test results to reinforce sufficient coverage of requirements. For example, supporting Georgia's EVV OBC certification of their Netsmart State EVV system, our IV&V team reviewed the ORR intake responses and evidence (including test scenarios, ADA compliance test reports, etc.), the System Security Plan, Security Assessment Report (SAR), POA&M, and other artifacts. We provided our findings and recommendations directly to Georgia's staff to address prior to submission to CMS, raising the quality and reliability of the submission. We also provided guidance on the milestone presentation that was prepared, including the live demos from UAT, assisting the agency in a higher quality review presentation that was aligned with CMS/MITRE expectations. We performed similar activities with Georgia to support the CR milestone, including reviewing the KPI reports, intake form response, and evidence updates for the partially met items from the ORR prior to CMS/MITRE submission. We also provided recommendations per review of the presentation and live demo from production for the CR milestone meeting.
	7. Must periodically submit project progress data to the CMS dashboard on a schedule required by CMS.
	CMS no longer uses the CMS dashboard, but we will provide all required support for SMC.
	8. Must assess impacts of projects to MITA business, informational, and technical architecture maturity.
	NTT DATA has completed several certification reviews and will leverage lessons learned to enable the artifacts and checklists to meet CMS expectations. For the report immediately preceding a milestone review, we will adjudicate and complete the reviewer columns of the checklists. The NTT DATA IV&V Advantage methodology supports several types of assessments resulting in product reviews and process evaluations. The assessment activities cover each phase of a project life cycle and SDLC and include all components of MITA maturity including business, informational, and technical architecture standards.

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	9. Must track traceability of project activities and requirements through the entire project to CMS critical success factors and certification checklist criteria as applicable to the project to secure ongoing enhanced funding.
	NTT DATA will validate requirements by putting a requirements management process in place and assessing the results of requirements validation sessions, requirements related DDI vendor deliverables, and the Requirements Traceability Matrix. Activities will include: • Assessing all aspects of requirements management, including requirements analysis • Validating requirements so they are meeting customer needs • Assessing requirements traceability and allocation through design development and testing • Assessing project deliverables to document all testable requirements
	10. Must perform all functions required by CMS for all CMS reviews.
	Our IV&V services conform with 45 CFR 95.626, and remain in accordance with SMC and the latest guidance from CMS as the contract progresses. We will uphold independence and objectivity, avoiding real or perceived conflicts of interest. As described in previous responses, we will provide status updates to CMS as required and support any role as requested by CMS.
	11. Must coordinate certification activities for the project. Must evaluate and make recommendations about the state artifacts that are required for MMIS certification milestone reviews.
	Our IV&V team will review the State outcome statements and certification artifacts, and will provide recommendations, findings, and guidance to DHHS, so that certification artifacts are in line with CMS expectations and guidelines prior to submission and/or presentation to CMS/MITRE. These artifacts can include, but are not limited to: • Outcome Statements (CMS and State) • Conditions for Enhanced Funding responses and evidence • Intake forms and supporting evidence. • Master Test Plan and Testing Results • Defect and Risk List • Deployment Plan • Independent Security Audit / SAR Report • Operational Report • Certification Request Letter • System Request Letter • Quarterly Metric Reporting Submissions

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	12. Must review all new or updated documentation, guidance, and rules promulgated by CMS applicable to the project and provide summary impacts to the project along with any recommendations. Through our regular meetings directly with CMS, our Certification Excellence Team is able to monitor CMS Information Bulletins (CIBs) and Medicaid Director letters, as well as the MES Certification Repository, and CMS webinars and industry workgroup participation with Private Sector Technology Group (PSTG). As an organization, we will have a structured method to support the IV&V team serving Nebraska with the most updated guidance, tools, and templates. We will include summary impacts of these developments as they occur immediately to appropriate stakeholders and in the Certification/CMS Updates section updates in our status reports. 13. Must perform any IV&V services and roles required by CMS or DHHS necessary to secure the enhanced funding. We will perform IV&V services and roles required by CMS necessary to secure enhanced funding. We understand the importance of our role in supporting the State in adhering to the latest guidance and requirements, and to continually assess and identify risks and issues that could impact funding. We are proud of our success with each of our client's receiving certification back to day one of operations, restoring their enhanced funding on MES initiatives.
CMC-2	Describe the bidder's understanding of CMS' expectations for an IV&V contractor and approach to compliance with CMS expectations. Response: **Understanding of, and Approach to Compliance, with CMS Expectations (RFP V B.4.c.xiii)** Our response to Section CMC-4 details the efforts and resources our team uses to monitor and understand the latest CMS compliance guidelines. Given that the official release of guidance regarding SMC is still pending as of the writing of this response, the recommended course of actions for States is to have frequent discussions with the CMS State Officer (SO) to understand the certification expectations that will be applied for State projects. Through our Certification Excellence Team, our teams stay abreast of the guidance that our clients are receiving from their SOs regarding the certification expectations and framework. We also monitor CMS webinars, have a regular standing meeting with CMS leadership to discuss trends directly, and monitor the MES Certification Repository website on which CMS hosts SMC materials. Our IV&V methodology incorporates the latest SMC requirements into our tools and templates, which allows our team to advise on findings and recommendations throughout the lifecycle of the projects to stay aligned with the CMS guidance, the CEF requirements, security requirements, and the State's defined outcome statements and metrics.

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CMC-3	Describe the bidder's approach to assessing the impacts of a project on MITA maturity levels.
	Response:

Approach to Assessing the Impacts of a Project on MITA Maturity Levels (RFP V B.4.c.xiv)

With the migration of former HITECH initiatives to MES funding, our IV&V team will provide guidance on State goals and objectives and supporting alignment of project requirements and outcome statements with the CEFs. The implementation of projects such as EVV present significant opportunity to advance MITA maturity level for DHHS, and effective IV&V support will help the State to identify these opportunities. Our team is well versed and will provide the support that will assist the Department in staying on track through the execution of the MES projects and in meeting OBC objectives.

The MITA Roadmap is the capstone of the MITA SS-A process. MITA roadmaps must be five-year plans, at a minimum, but can extend to 10 years. CMS has indicated that it wants states to develop roadmaps that are achievable and to not replace what is working. We will assess the MITA roadmap and look for opportunities to support HITECH to MES transition in alignment with the Department's objectives as opportunities exist. The MITA roadmap will serve as the basis for our IV&V assessment of MITA alignment in all IV&V activities in support of MLTC.

MITA Maturity Level requirements are included in our IV&V methodology supported by our tools for assessing project artifacts and requirements through all lifecycle phases to identify gaps and make recommendations. This verifies that defined, tested, and implemented processes and functionalities are in line with the MLTC's Goals and Objectives, MITA and MMIS Concepts of Operation and Data Management Strategy for each module, and the MITA Roadmap to validate traceability to the CFRs (back to the requirements/outcome statements as defined in the APDs).

We will support gap analysis of remaining HITECH funding objectives, whether they have been met or are required to be carried forward or integrated with MES funding requirements along with supporting traceability through to testing and certification of each module.

We have vast experience and a long close relationship with CMS going back to our time as Fox Systems and Cognosante supporting States with MITA projects which we have been performing since the inception of the framework. Our expertise varies from providing MITA SS-A services, modularity planning, and modular MES implementation IV&V oversight services across the country, as shown in Figure 61.

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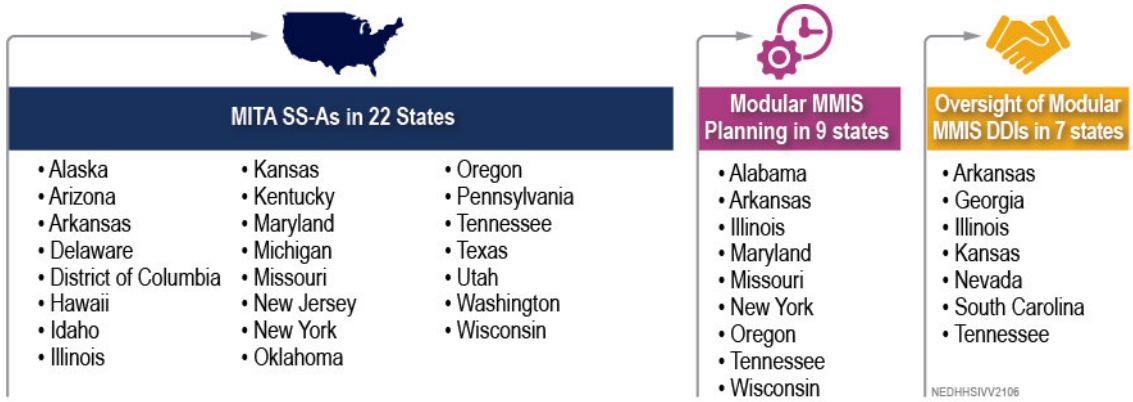

Figure 61. MITA SS-A and MMIS Experience

Based on our experience adapting and applying MITA principles, we will adapt our approach to making the MITA assessment meaningful to add value for MLTC.

CMC-4	Describe the bidder's approach to monitoring for documentation, guidance, and regulations from CMS

Response:

Approach to Monitoring for Documentation, Guidance, and Regulations (RFP V B.4.c.xv)

In the course of our work on behalf of state HHS agencies and CMS, NTT DATA has developed and continues to grow expert knowledge of legal, regulatory, and policy requirements related to the federal and state laws, rules, and regulations that affect our IV&V services.

An integral part of our IV&V methodology is the use of industry and government standards and best practices as the criteria for the assessment of the project's services and products. This methodology helps facilitate project success in delivering what is required, not just what is documented.

- **Industry Standard.** The primary criterion sets used for the assessment of a project's services and products are the Institute of Electrical and Electronics Engineers (IEEE), Capability Maturity Model Integration (CMMI), and PMBOK industry standards.
- **Government Standards.** Our IV&V team follows state-specific standards and federal requirements and guidance, including SMC. We have been an industry leader in the certification process for many years—from supporting CMS in the update of the MMIS Certification Manual and development of MECT v1.0, to assisting our clients through its evolution to the recently published MECT v2.3. Since CMS introduced the Toolkit in 2007 to update the original 1994 certification

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	process, incorporated MITA requirements, and introduced the concept that the certification process should occur throughout the development cycle, NTT DATA has actively monitored its progression. As CMS has further refined the certification activities, conducted pilots, and defined specific checklists to support business and modular implementations in MECT versions 2.0, 2.1, 2.1.1, 2.2, and now OBC, NTT DATA has remained at the forefront of the changing requirements to make sure our clients are compliant and successfully certified. • **NTT DATA Consulting Practice.** NTT DATA has established Excellence Teams that focus on key areas of importance to our clients. As MECT has evolved, so has the NTT DATA Certification Excellence Team that consists of 35 NTT DATA representatives from 16 states who have met monthly for the past three years to review certification activities at the state and national levels. This team monitors CMS regional office interactions, formulates questions to CMS for clarification, reviews updates to the toolkit, and shares first-time certification activities and lessons learned. This real-time sharing of information has provided us with unique, in-depth, and continually updated knowledge that we utilize to conduct IV&V activities and share with members of our consulting team. • **Direct Engagement With CMS:** NTT DATA has regular meetings with CMS to discuss trends and topics. • **Monitoring CMS Informational Bulletins (CIBs) and Medicaid Director's Letters** • **Contacts with CMS State Officers (SOs)** • **NTT DATA Certification Excellence Team:** Our CET is staffed with more than 80 team members from 16 states who meet monthly to discuss certification activities at the state and national level.

Operations and System Readiness

Business Requirements	
Req #	**Requirement**
	Address the bidder's approach to meeting each requirement in a table that contains the requirement and the bidder's approach to meeting the requirement.
OSR-1	Response: **Approach to Meet the Requirements (RFP V B.5.c.xvi, V B.5.b.1-4, and VI A.2.a)** 1. Must assess project testing activities including test scenarios, cases, and results including traceability of testing to project requirements. Assessment must include whether additional test scenarios or cases are needed to sufficiently test the project requirements. Our team will monitor the creation and execution of test scenarios and test cases relative to contract requirement, desired business outcomes, and technical requirements. Each functionality, outcome statement, and requirement must be tested in production-like circumstances using appropriate data and following the comprehensive business scenarios for that functionality as defined by and approved by the Department. We will vet use cases and test cases so that functionality is fully covered, and each test case is reviewed and approved by the State.

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We will assess the Requirements Traceability Matrix accuracy throughout the project, specifically during release scoping and test planning, to confirm that all requirements associated with a code set are included, developed, and tested. We will assess test cases against use cases, business functionality, SMC outcome statements and metric definitions, and SME recommendations.

From our experience, NTT DATA knows that testing becomes increasingly important in a multi-vendor environment, and with a portfolio of multiple concurrent projects with different approaches and considerations. We will apply focus on integration, end-to-end, and regression testing. Figure 62 further documents our methodology for testing verification.

Figure 62. IV&V Testing Verification Methodology

Methodology	Tasks
Work Breakdown Activities	• Gather data (review project documentation, work products, and deliverables, and interview key project team members to gain a thorough understanding of the system testing) • Research and analyze specific aspects of the system testing to form an opinion of the validity of the proposed tool selection, design, and implementation approach including: – Test documentation (test plans, test scripts) for appropriateness of test methods and standards used – Conformance with project-defined test document standards – Test coverage of appropriate level of requirements for testing – Regression testing approach – Consistency amongst the test documents – The resources assembled to perform the testing, number of tests required, processes used,reporting procedures, documentation generated, and completion criteria – The defect and issue tracking process – The test environment and tools configuration to support efficient and consistent testing • Verify the test organization has an appropriate level of independence from the development organization • Prepare report • System and Integration Test Execution Verification • Verify the developer's test cases conform to project-defined test document purpose, format, and content • Validate the developer's test cases satisfy the criteria in the Test Plan • Verify the contractor's prepared comprehensive set of test scenarios include applicable test cases and expected test results to test the migration and conversion of all data and files • Verify the software artifacts, system documentation, test data, and test plan confirm a robust and complete testing capability • Verify the contractor's prepared comprehensive set of test scenarios and expected test results • Verify the progress of testing effort • Review and monitor the defects identified, including the number and severity of defects
Templates	• IV&V Process Evaluation Worksheet Template • IV&V Product Review Worksheet Template

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	• Testing Assessment Report Template • Product Review Report Template
Project-Specific Documents (inputs)	• System Testing Plan • Other testing artifacts • Technical Design Document • Test Case documentation • Test Results documentation • Interface Control Document

2. Must assess defect resolution and retesting activities to validate defect was appropriately resolved.

Our team will support the State in ensuring that the system functionality is in line with the desired outcomes, and will not adversely impact the Department's programs, providers, and other stakeholders as a result of code change deployments to the production environment that are not correctly managed with a work around within tolerance.

Our team will assess the severity and impact of identified system defects. We will verify that the quality management and testing plans have defined processes for defect classification (impact, priority, and severity) and are being followed.

Our team will request read-only access to the MLTC or solution vendor tool for defect management. We will verify that the defect tool captures all required elements per the quality/testing plan including severity, unique identifier, description, steps/conditions, status of resolution, and root cause/work arounds. We will also monitor traceability of test scenarios for defects, which can block the execution of test scenarios and/or scripts.

We will monitor to make sure all appropriate stakeholders are included in test execution and signoff of defect resolution. We will independently monitor defect status, adherence to defect management and resolution processes, and metrics within the defect tracking tool on behalf of the testers and development organizations.

3. Must develop and submit a comprehensive System and Business Operations Readiness Review Plan work product for each project for Department approval a minimum of 90 days prior to the acceptance testing schedule date in the project work plan.

An effective readiness plan is critical to successfully execute an implementation cutover and is the baseline to which the Operational Readiness Assessment will be conducted, which will support the Department into making a fully informed go/no-go decision.

Our team will utilize a customized operational readiness checklist for each of the projects to produce an independent and informed recommendation to support a go/no-go decision. Our proposed System and Business Operations Readiness Review Plan work product will draw from our Enterprise Advantage suite of tools and templates, and will include:

- Dashboard
- Test Tracking
- Stakeholder Outreach
- Business Readiness Measures
- Training
- Deployment

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	• Defects Tracking • System Documentation • Inventories • ORR Readiness Measures • Business Processes and Procedures • Data Migration Readiness • Stakeholder Readiness • State Communications • External Communications The System and Business Operations Readiness Review Plan work product will include, but not be limited to, testing execution and defect status assessment, system readiness, stakeholder support assessment (including customer call center/help desk readiness as applicable for the project), and data load and/or conversional results to inform data readiness. We will customize the plan and appropriately tailor it to support the specifics of each project/implementation. We will document the criteria and thresholds defined for the go/no-go decision in the dashboard section of the report. The System and Business Operations Readiness Review Plan work product will be submitted to MLTC for approval a minimum of 90 days prior to the acceptance testing schedule date for each project per the work plan. We have included a sample System and Business Operations Readiness Review Plan from another client as an attachment to our response (see Section OSR-3). 4. Must conduct a system and business operational readiness review and assessment and provide the results to DHHS. The Business Operational Readiness Review and Assessment will include: • Summary of requirements coverage in final software delivered • Observations and summary of testing defect rate and resolution • Summary of organizational readiness to adapt to new business procedures • Assessment summary of knowledge transfer readiness • Recommendations for system enhancements to assist future needs during maintenance and support activities • Continued performance monitoring and fulfillment of applicable service level agreements The Operation and System Readiness Review Report will provide our recommendations on “going live” in the summary section based on our aggregate high-level findings, and with recommendations to mitigate risks and respond to issues.
OSR-2	Describe the bidder’s approach to operational and systems readiness. Response: **Approach to Operational and Systems Readiness (RFP V B.5.c.xvii)** Operational and System Readiness should ideally be assessed well in advance of go-live of the system for each module/project, utilizing a common set of readiness criteria established proactively by MLTC in collaboration with its DDI vendors and IV&V. In order to develop a clear list of go-live readiness criteria, the criteria that must be met before the system is ready for live operation should be developed and used to communicate progress toward go-live.

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As part of our IV&V services, our NTT DATA team will review the readiness criteria for sufficiency and make recommendations for improvement, actively sharing examples of readiness criteria and tracking from previous projects. Our team will use a structured process and methodology for assessing implementation planning and readiness that facilitates early detection and correction of issues, and provides clearly documented findings of deficiencies with recommendations and associated risks. The approach will be adapted to each project schedule (E&BE, EVV, POS/Drug Rebate, HITECH to MES, and Interoperability and Patient Access Rule), to make sure operational and system readiness assessments are conducted at the appropriate time within the development life cycle.

We will proactively evaluate the initial setup and ongoing SDLC activities for alignment with industry standards and best practices. For each assessment period, we will collect input from MLTC, the other vendors, and/or stakeholders. Our team will synthesize this information to identify and prioritize issues, risks, and deficiencies and provide practical mitigation strategies to help keep the MLTC implementations on track.

Prior to an assessment of Operational and System Readiness, our IV&V team will develop a checklist based on our experience from other engagements and include assessment criteria that will be tailored to the Nebraska MES projects. Our team will then evaluate the quality and readiness of the system. Additionally, we will evaluate the operational preparedness of the stakeholders who will be impacted by the new system/module being migrated into production, or the existing system in production that is a candidate for system enhancements and upgrades. The review and assessment include:

- Identification of Operational and System Readiness Risks, Issues, and Observations
  - Within each readiness component assessment, a reference back to the assessment criteria is made for each critical finding.
- Recommendations and Risk Ratings
  - As part of the Status Report, IV&V provides a risk rating and actions to be taken to eliminate or reduce the impact of the deficiency for each critical finding. IV&V also provides an overall risk rating and justifications for the rating for moving forward with the scheduled implementation. The overall implementation readiness risk rating is based on consideration of all assessment findings and the potential impacts on systems, operations, and stakeholders.

Figure 63 shows the IV&V Operational and System Readiness Review Approach, which is the methodology our team will use to verify that vendors and contractors are performing the necessary quality assurance tasks throughout the CCWIS project lifecycle.

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Figure 63. IV&V Operational and System Readiness Review Approach

Operational and System Readiness Assessment	
Description	• IV&V assessment of vendor operational and system readiness for system/module migration to the production environment
Work Breakdown	• Review project specific documents (inputs) that will frame the assessment content • Interview stakeholders as necessary • Document assessment findings
Templates	• IV&V Implementation Checklist
Project Specific Documents (Inputs)	• Action items log • Risk log • Issue log • IV&V Implementation Checklist • Project schedule • Master RTM • System Security Plan • Vendor(s) Implementation Schedule • Vendor(s) Operational Readiness Plan • Vendor(s) System Readiness Plan • Vendor(s) Implementation Readiness Criteria Checklist • Vendor(s) Detailed Communication Plan • Vendor(s) Detailed Training Plan • Vendor(s) Interface Control Document (ICD) • Vendor(s) Business Continuity and Disaster Recovery Plan • Test scenario and test case results for all test phases
Project Specific Documents (Outputs)	IV&V Operational and System Readiness Assessment
Frequency	Minimum of 91 days prior to the user acceptance testing schedule and project work plan

We understand the purpose of reviewing the implemented project solutions is to verify the system provides the services specified by the requirements and desired outcomes in the operational environment. It includes system verification, as well as assessments of relevant supporting platforms and integrations.

The installation verification objectives are to assess:

- System transition strategy is comprehensive and explicitly documented as per the System and Business Operations Readiness Review Plan

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	• System is installed in its operational location in accordance with the transition plan • System delivers all specified services per its governing requirements • System is sustainable by enabling systems Our review of implemented MES solutions will includes the following activities: • Acceptance Test Assessment: Assessment of the UAT plans, process, and progress. Includes assessment of the UAT Plan and analysis of UAT results to validate that the software satisfies the system requirements. • Parallel Test Assessment: Assessment of the Parallel Test plans, process, and progress, including analysis of results to validate that the software satisfies the system requirements. • Implementation Readiness Assessment: Provides an objective assessment of the State and Vendors' readiness to implement the solution, processes, policies, and procedures. It includes a technical and operational readiness assessment. • Implementation Verification: Assessment of the implementation including verification that the system conforms to requirements, the documentation of system is complete, and the system is deployed in accordance with Federal and State requirements. Assessment also includes verification that the system is installed in accordance with the approved plan, and is sustainable by enabling systems (operational, training, and support systems). • SLA Assessment: SLAs are defined in the contractor contract, often with liquidated damages assessed for failure to meet specific SLAs. The NTT DATA IV&V team reviews contracts and amendments for SLAs that apply to the current contract period. We assess the mechanisms that are used to measure SLA compliance and recommend process improvements, additional data sources, and best practices that permit more accurate SLA reporting. During each of these activities the NTT DATA IV&V team will: • Verify the implemented solution conforms to requirements within defined constraints • Verify the associated documentation is complete and correct • Verify the solution is deployed in accordance with state and federal requirements • Verify the implemented solution complies with the architectural design • Validate integration of the implemented solution • Verify the solution is installed in accordance with the approved implementation plan and is sustainable We will deliver the review results in the Operation and System Readiness Review Report. The results of the implementation readiness assessment will be reported in the Operation and System Readiness Review Report for each project before the MLTC decision to go-live with the project solutions. The IV&V lead will work with MLTC on project startup to define and gain agreement on the reporting requirements. The dashboard section of the Operation and System Readiness Review Report will contain the IV&V recommendations

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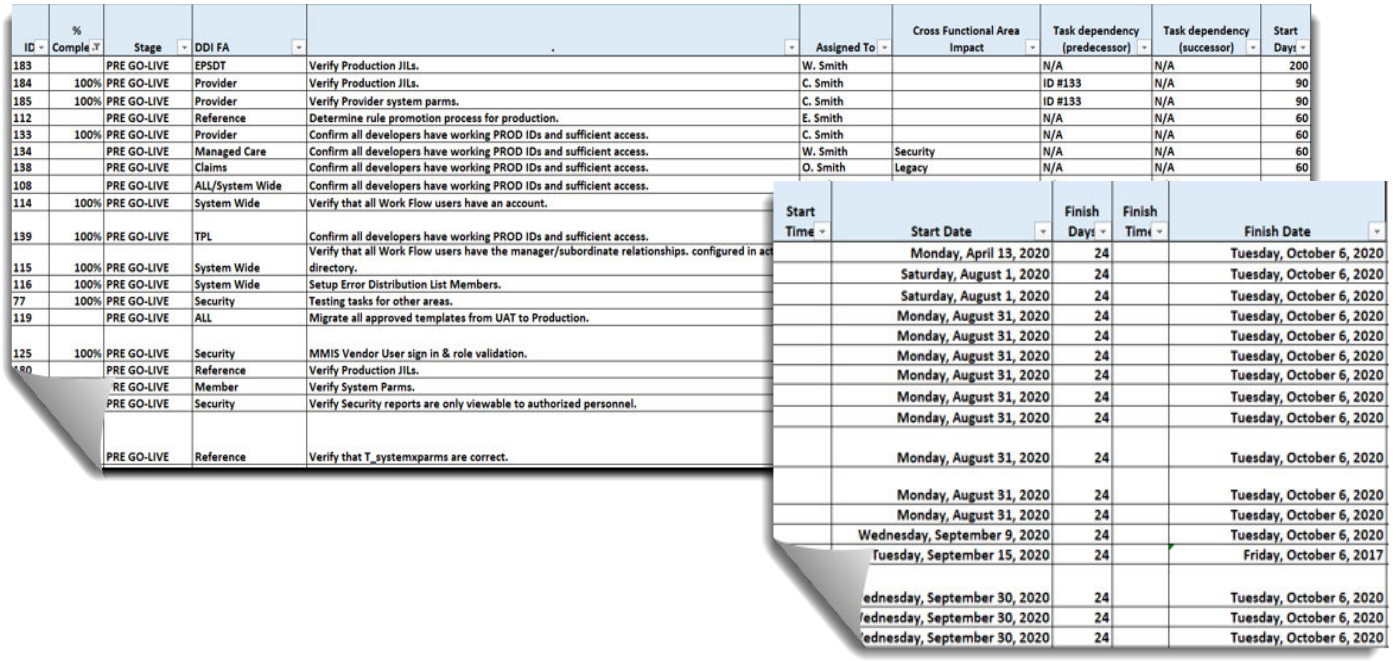
	related to the go/no-go decision.
OSR-3	Provide an example of a readiness plan utilized for other projects.
	Response:



ID	% Comple	Stage	DDI FA	.	Assigned To	Cross Functional Area Impact	Task dependency (predecessor)	Task dependency (successor)	Start Days	Start Time	Start Date	Finish Days	Finish Time	Finish Date
183		PRE GO-LIVE	EPSDT	Verify Production JILs.	W. Smith		N/A	N/A	200		Monday, April 13, 2020	24		Tuesday, October 6, 2020
184	100%	PRE GO-LIVE	Provider	Verify Production JILs.	C. Smith		ID #133	N/A	90		Saturday, August 1, 2020	24		Tuesday, October 6, 2020
185	100%	PRE GO-LIVE	Provider	Verify Provider system parms.	C. Smith		ID #133	N/A	90		Saturday, August 1, 2020	24		Tuesday, October 6, 2020
112		PRE GO-LIVE	Reference	Determine rule promotion process for production.	E. Smith		N/A	N/A	60		Monday, August 31, 2020	24		Tuesday, October 6, 2020
133	100%	PRE GO-LIVE	Provider	Confirm all developers have working PROD IDs and sufficient access.	C. Smith		N/A	N/A	60		Monday, August 31, 2020	24		Tuesday, October 6, 2020
134		PRE GO-LIVE	Managed Care	Confirm all developers have working PROD IDs and sufficient access.	W. Smith	Security	N/A	N/A	60		Monday, August 31, 2020	24		Tuesday, October 6, 2020
138		PRE GO-LIVE	Claims	Confirm all developers have working PROD IDs and sufficient access.	O. Smith	Legacy	N/A	N/A	60		Monday, August 31, 2020	24		Tuesday, October 6, 2020
108		PRE GO-LIVE	ALL/System Wide	Confirm all developers have working PROD IDs and sufficient access.							Monday, August 31, 2020	24		Tuesday, October 6, 2020
114	100%	PRE GO-LIVE	System Wide	Verify that all Work Flow users have an account.							Monday, August 31, 2020	24		Tuesday, October 6, 2020
139	100%	PRE GO-LIVE	TPL	Confirm all developers have working PROD IDs and sufficient access.							Monday, August 31, 2020	24		Tuesday, October 6, 2020
115	100%	PRE GO-LIVE	System Wide	Verify that all Work Flow users have the manager/subordinate relationships. configured in act directory.							Monday, August 31, 2020	24		Tuesday, October 6, 2020
116	100%	PRE GO-LIVE	System Wide	Setup Error Distribution List Members.							Monday, August 31, 2020	24		Tuesday, October 6, 2020
77	100%	PRE GO-LIVE	Security	Testing tasks for other areas.							Monday, August 31, 2020	24		Tuesday, October 6, 2020
119		PRE GO-LIVE	ALL	Migrate all approved templates from UAT to Production.							Monday, August 31, 2020	24		Tuesday, October 6, 2020
125	100%	PRE GO-LIVE	Security	MMIS Vendor User sign in & role validation.							Monday, August 31, 2020	24		Tuesday, October 6, 2020
180		PRE GO-LIVE	Reference	Verify Production JILs.							Monday, August 31, 2020	24		Tuesday, October 6, 2020
		RE GO-LIVE	Member	Verify System Parms.							Monday, August 31, 2020	24		Tuesday, October 6, 2020
		PRE GO-LIVE	Security	Verify Security reports are only viewable to authorized personnel.							Monday, August 31, 2020	24		Tuesday, October 6, 2020
		PRE GO-LIVE	Reference	Verify that T_systemxparms are correct.							Monday, August 31, 2020	24		Tuesday, October 6, 2020
											Monday, August 31, 2020	24		Tuesday, October 6, 2020
											Monday, August 31, 2020	24		Tuesday, October 6, 2020
											Wednesday, September 9, 2020	24		Tuesday, October 6, 2020
											Tuesday, September 15, 2020	24		Friday, October 6, 2017
											ednesday, September 30, 2020	24		Tuesday, October 6, 2020
											ednesday, September 30, 2020	24		Tuesday, October 6, 2020
											ednesday, September 30, 2020	24		Tuesday, October 6, 2020

Figure 64. Systems and Business Ops Readiness Review Plan

Example of a Readiness Plan (RFP V B.5.c.xviii)

The Systems and Business Operations Readiness Review Plan will be a comprehensive plan, tailored to each project, and encompass the technical and business tasks and activities. It will also define the control criteria that will support the system with the alignment and delivery of the State's desired outcomes as defined.

Typically, as IV&V, we would assess the Readiness Plan as opposed to creating it, but we will adapt to the expectation of MLTC and leverage our extensive experience developing readiness plans from our PMO Engagements supported by our Project Advantage methodology.

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	Appendix G contains examples of Readiness Plans, which we have used on other projects. Figure 65 is a snapshot of the plan.
OSR-4	Provide examples of operation and system readiness review reports used on previous projects.
	Response: **Examples of Operation and System Readiness Review Reports (RFP V B.5.c.xix)** The Operation and System Readiness Review Report for each project will provide an objective assessment of the state and DDI vendor's readiness to implement the solution, processes, policies, and procedures. It includes assessments of the technical and business operations readiness. Appendix G contains an example of an Operation and System Readiness Review Report, which we have used on other projects.

	B	C	D	E	F	G	H	I	J	K	L
53		Data-sharing agreements are in place.		Y	9/20/2020	State legal review complete. Agreements are in place.	State PMO				
54		Call / support centers are appropriately staffed and prepared to meet contractual requirements (Provider Call Center; Member Call Center; State Call Center, EDI Help Desk, Service Desk; DSS Lab Support)		Y	10/13/2020	9/25: The State has hired staff and completing training. Target completion 10/6. PMO has suggested to the State they create a Call Center Plan. The MMIS vendor centers in-process of staffing up as needed. Onboarding to begin in early Oct.	State PMO				
55		Contingency plans are documented and in place.		Y	8/31/2020	MMIS vendor Contingency planning is documented in 3.1.1. Implementation Master Plan which is under State PMO review.	MMIS Vendor				
56	User Readiness	User training is on track for completion according to the agreed upon training plan / schedule, plans for follow-up training are in place.		Y	9/20/2020	Update: 9/25 - Overall completion for all MMIS End Users is 98%. (Targets 75% by 8/18, 84% by 9/1, 93% by 9/15, 95% by 9/20 (Executive go / no go review). Contractor training due by 10/6. All on track.	State PMO				
57		Users are aware of the changes that affect them.		Y	10/13/2020	9/25: Repeat ADKAR survey currently in review with the State. Target release date TBD.	State PMO				
58		Users have been trained on workarounds.		NS	10/20/2020	The OCM team will work with the PMO Business Manager to determine if any workarounds will need communicated and trained on prior to go-live. Target date for completion is go-live minus 1 week.	State PMO				
59		State agencies, the MMIS vendor, the behavioral health vendor, the pharmacy vendor, and the State (for prior authorizations) staff are able to perform their day to day business functions using the new system (based on observed satisfactory results of operational readiness testing.		Y	10/25/2020	State ORRs to be conducted with State PMO 10/23 - 10/25. List of ORRs currently in review with PMO. In the process of scheduling MES module ORR. Target for completion is go-live minus 1 week.	State PMO / MMIS Vendor				
60	Operations and Maintenance Support Readiness	O&M processes and procedures are documented, approved and in place (e.g., Change Control and Defect Management, Production Support procedures for staff on-site and off-site at the Data Center; Helpdesk procedures, etc.)		N	9/20/2020	Processes and protocols being updated for Operations to sync with new tools, Service Manager, etc.	MMIS Vendor				
61		System documentation is up to date.		Y	9/20/2020	8 of 8 companion guides completed.	MMIS Vendor				
62		Contact information, including email distribution lists, contract names, email addresses, and phone numbers for support staff are identified.		Y	10/13/2020	OCM to create specific contact lists per the Command Center Plan. Due by 10/13.	State PMO / MMIS Vendor				
63		Escalation path(s) documented and communicated.		Y	10/13/2020	OCM to create specific contact lists per the Command Center Plan. Due by 10/13.	State PMO / MMIS Vendor				
64		Provider training is on track for completion according to the agreed-upon plan /schedule; plans for follow-up training are in place.		Y	10/20/2020	Provider training kicked off on 4/6 as planned. Provider training to run up until 10/20.	MMIS Vendor				
65		Provider communications are mutually agreed to by State agencies and the MMIS vendor and are on track for completion; providers are aware of the changes that affect them.		Y	10/15/2020	The Project Manager is working with State PMO on finalizing the Extension Training / Communication Plan updates for Providers, including a schedule. Need final push to ensure all Providers, major Medical Societies, Hospital Associations, etc. are aware of pertinent changes and impacts.	MMIS Vendor				
		Results of provider testing are acceptable (or have acceptable operational risks) for State agencies and the			10/13/2020	Started on 9/5 for 33 days duration but with risk.					

Executive Dashboard | 1 Dashboard Report | 2a Primary System Readiness | 2b Secondary System Readiness | 2c Tertiary System Readiness | 2d ARV System Readiness | 2e Quaternary Readiness | 2f UAT Completion | 2g Regression Testing | 3a Parallel Testin

Figure 65. Operation and System Readiness Review Report

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IV&V Deliverables and Work Products

Business Requirements	
Req #	**Requirement**
IDW-1	Address the bidder's approach to meting each requirement in a table that contains the requirement and the bidder's approach to meeting the requirement.
	Response: **Approach to Meet the Requirements (RFP V B.6.c.xx, V B.6.b.1-4, and VI A.2.a)** ***Figure 66. IV&V Deliverables and Work Products RFP Requirements*** 1. For each project, must fulfill all IV&V contractor responsibilities and submit a monthly deliverable including activities and work products completed within the month: • The monthly IV&V report • Weekly status report materials for the month • IV&V project work product and deliverable assessments completed within the month • Critical incident reports • Requirements traceability matrix updates • CMS and MITA compliance activities • IV&V work plan updates • IV&V work products Our deliverables and work products will be defined in the Deliverables Management Plan of the IV&V Project Management Plan. Initial deliverables and due dates are detailed in Section 2.5. 2. Must perform work and submit work products and deliverables for State review and approval in accordance with the approved IV&V work plan scheduled dates. NTT DATA places a great deal of emphasis on the quality and content of deliverables. We have rigorous quality standards that we will apply to confirm top quality in the deliverables produced for the MES project. By applying these quality standards, working collaboratively with State Project Manager, and ensuring the draft and final deliverables are subject to internal QA reviews, we will meet or exceed the requirements and expectations for deliverables and hence meet or exceed the project completion standards. Prior to the start of deliverable development, NTT DATA will create the format and content specifications, including the outline and major elements to be addressed in the deliverable. We will review this Deliverable Expectation Document (DED) with the State Project Managers or other identified deliverable approver incorporating feedback to establish shared expectations for how the document will be formatted and what content it will contain to meet deliverable requirements.

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	Establishing shared expectations up-front will enable IV&V deliverables to meet DHHS' needs, and will not require extensive revisions or rework. Also, we have found that sharing draft content throughout the process of deliverable development can be another good technique (i.e., getting feedback early and often) to avoid extensive revisions later. As a last internal step, our IV&V deliverables will go through a QA/QC process before being formally submitted to DHHS for review and comment. Upon receipt of DHHS comments, the NTT DATA team will incorporate necessary modifications within the deliverable and finalize the deliverable according to the process agreed upon with DHHS. We will retain electronic copies of draft and final deliverables in our IV&V project repository.
	3. Must provide a tracking capability for tracking of work product and deliverable submission and review status.
	Our team will use a deliverable tracking log to track artifact, deliverable and work product reviews, submission dates, review statuses, and dates and versions. The IV&V Deliverables completed, in-progress, and upcoming for each work period will be included in the IV&V Weekly Status Report and the Monthly IV&V Report.
	4. Must submit any changes to previously approved deliverables for approval through the review process.
	Our IV&V team will re-review State and solution vendor deliverables, work products, and other artifacts to confirm resolution of identified findings. We will also review the sub plans and related reports and regular update submissions for deliverables, work products, or other artifacts that are regularly updated and resubmitted. Any previously approved IV&V deliverables will be subsequently updated if there is a required revision. We will resubmit such deliverables for MLTC approval as per the approved Deliverables Management Process, which will be defined in the IV&V Project Management Plan.

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2.7 Organizational Staffing (RFP V C.1-3)

In this section, we provide responses to the following subsections:

- 2.7.1 Approach to Meet the Requirements (RFP V C.3.xxi)
- 2.7.2 Names and Resumes of Key Staff (RFP V C.3.xxii)
- 2.7.3 Staffing Plan For Each Project (RFP V C.3.xxiii)
- 2.7.4 Organizational Chart For Each Project Team (RFP V C.3.xxiv)
- 2.7.5 Approach to Maintain the Appropriate Number of Staff for Each Project (RFP V C.3.xxv)

2.7.1 Approach to Meet the Requirements (RFP V C.3.xxi)

Coordinated Activities Among DHHS, IV&V, and other Contractors
For more than 30 years NTT DATA has worked closely with states and vendors on several different types of engagements – as the PMO, QA vendor, IV&V vendor, Procurement Support, and other roles. In addition, several members of our proposed team have worked for state government or as contractors to state governments at some point in their career. As a result, we understand what it means to be in each of the various roles, and the importance of having a constructive approach to working together that includes listening and responding appropriately and in a timely manner.

On each project we manage, our NTT DATA team has demonstrated experience performing the key actions below:

- Providing cohesion and accountability throughout the life of the contract
- Establishing an environment of cooperation, support, collaboration, and accountability
- Providing accurate and timely reporting to facilitate project decision making
- Fostering a positive project culture for all stakeholders
- Encouraging and facilitating open and constructive communication and transparency
- Establishing shared goals and recognizing “Team” successes
- Providing consistency and structure

Figure 67 provides a high-level overview of the communication framework our IV&V teams typically follow for an IV&V engagement. We will work with DHHS to validate and further define this framework and deliver the appropriate communications for each of the five projects in Nebraska’s portfolio.

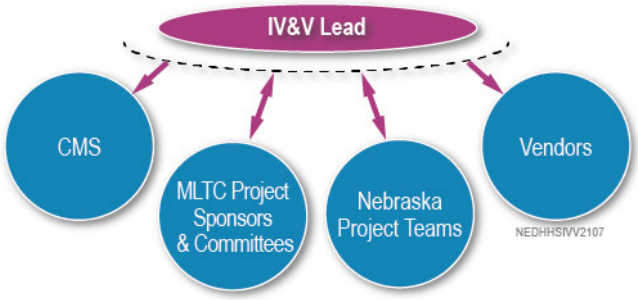

Figure 67. Communication Framework

All of our state and vendor interactions are professional and collaborative, providing the State with an integrated team working toward the same project outcomes.

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Our Team Structure Supports Coordinated Activities

We believe that staffing is critical to IV&V success and critical to helping our clients realize successful projects. Our staffing approach is grounded in our IV&V methodology and best practices, influenced by the breadth and depth of our current IV&V experience in 17 states, and customized based on the requirements of the RFP.

We proposed staff whose experience and background make them ideal members of the IV&V team and that bring expertise in the particular projects and skillsets requested in the RFP. In addition, many of the team members can perform the responsibilities of more than one role – which brings added value and continuity to our team, giving us the flexibility to direct our team to focus on the most critical areas without impacting other important areas of a project.

We understand the five projects in Nebraska's portfolio operate under different governance structures, have different State project teams, and may span different State agencies, divisions and/or departments. We also know the importance of bringing the right staff, knowledge, skills, tools, and techniques to an engagement with this complexity. We assigned teams to each of the projects in Nebraska's portfolio and staffed each team with experienced professionals who understand the risks associated with large system integration efforts. Our IV&V team members know that having and maintaining a cross-project, enterprise level, perspective, even in the midst of their individual project assignments, will contribute to the success of all projects in Nebraska's portfolio. We further discuss the benefits of this portfolio approach in Section 1.9.

Our IV&V Lead will be the State's main point of contact and will aggregate the IV&V reporting across the multiple concurrent projects with a holistic view to consider project interdependencies and inform the appropriate stakeholders of project developments, relevant to their decision making. We discuss more about this role in Section 1.9.2.

Figure 68 shows our proposed IV&V team organization structure. Each team and team member, along with their roles, skills, and qualifications, are discussed in detail in Section 1.9.

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Figure 68. IV&V Team Organization Structure

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Figure 69. Organizational Staffing RFP Requirements

1. Must provide an organizational structure which reflects coordinated activities among DHHS, IV&V, and other contractors.
See Sections 1.9.2.1, 2.7.1, 2.7.3, and 2.7.4.
2. Must provide criminal background investigations on all personnel and follow-up investigations every five years. Must report an individuals who have criminal activity identified to DHHS.
As an integral component of our structured recruiting process, NTT DATA conducts a thorough background check on all candidates and staff assigned to any project. We provide highly qualified personnel who succeed in their new roles. By carefully screening candidates, we protect our reputation as a partner of quality staffing services throughout our engagement with Nebraska. NTT DATA will complete a criminal background check prior to any individual being assigned to work on the project, conduct a follow-up investigation for all NTT DATA assigned staff every five years, and report to DHHS on any individuals who have criminal activity identified.
3. Must provide all key positions identified IV.C.1.
All key positions identified in IV.C.1 have been included in this proposal. Details on our proposed staff can be found in Sections 1.9.2.1 and 1.9.2.2. Resumes and references are in Section 1.9.2.5.
4. Must maintain an Organizational Chart and project contact list.
An organizational chart for our proposed project team is included in Figure 68 above. In addition, we will be providing Nebraska with a Staffing Management Plan as part of our Project Management Plan deliverable. The Staffing Management Plan will include an organizational chart of our team (updated as needed to reflect any changes), along with other important items for managing our team. We will report staffing, staff activities, and staff contact information in our Weekly IV&V Status Report, along with any onsite/offsite schedules. We provide additional information on our approach for managing staffing and our SMP in Section 1.9.1 and information on our Weekly IV&V Status Report in Attachment A, IVV-1.
5. Must acquire DHHS approval for key staff and key staff replacements.
NTT DATA agrees to acquire DHHS approval for all key staff and key staff replacements.
6. Must not reassign or replace key personnel without the prior written approval of DHHS.
NTT DATA agrees that it will obtain prior written approval from DHHS for any reassignment or replacement of key personnel.
7. Must provide monthly IV&V staff as proposed.
NTT DATA agrees to provide monthly IV&V staff as proposed.

2.7.2 Names and Resumes of Key Staff (RFP V C.3.xxii)

Resumes are located in Section 1.9.2.5.

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2.7.3 Staffing Plan For Each Project (RFP V C.3.xxiii)

In Figure 68 IV&V Team Organization Structure, we graphically depict our proposed team organization structure. We have included the following key positions for each project.

- IV&V Lead
- IV&V Project Manager
- IV&V Technical Architect
- Two (2) IV&V Business/Test Analysts

[redacted]

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- [redacted]

[redacted]

[redacted]

[redacted]

Figure 70. IV&V Team Staff Allocations by Project

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2.7.4 Organizational Chart For Each Project Team (RFP V C.3.xxiv)

Our proposed Organization Chart for each project team is shown in Figure 71. Please see details in Section 2.7.3 regarding staff structure and allocation, and Section 1.9 for roles, responsibilities, and staff qualifications.

Figure 71. Organizational Chart

2.7.5 Approach to Maintain the Appropriate Number of Staff for Each Project (RFP V C.3.xxv)

In Section 2.7.3 we discuss how we allocated staff to each project and provided details on those allocations. We carefully examined the information in the RFP and Nebraska's answers to the Q&A to understand the current phases and timeline for each project before allocating staff. Allocation was based on skills and effort, structuring our team to support a portfolio and enterprise perspective while doing their work. We are confident that all staff – including staff allocated to multiple projects – will be able to complete their assignments with the thoroughness, quality, and efficiency required of our IV&V team.

We understand changes in timeframe and scope do occur and we are committed to maintaining the required five key positions on each project. If a project timeline slips, staff become unavailable, scope changes, or an event occurs that requires us to re-evaluate skills or re-assign team members, we have several mechanisms to help us quickly respond and minimize or avoid any impact to our IV&V services. Some of those mechanisms include:

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1. Leveraging skillsets and experience from other team members. All of our proposed staff have the skills and experience to perform the responsibilities of more than one key role which brings added value and continuity to our team. Because of the overlap in skills and experience, we can have another team member fill in, even if only temporarily, when/if needed.
2. Working with NTT DATA's internal Resource Manager. Our IV&V Lead and IV&V Project Manager can work with our internal Resource Manager to identify consultants with the skills, experience, and availability required to meet the needs of the project. With close to 20,000 U.S.-based employees, we have a steady source of professionals who become available for new opportunities as they successfully complete other projects for our clients. We can also reach out to our affiliate companies in the NTT Group or subcontractors for support when necessary. Section 1.9.2 provides additional details on our staffing and recruiting support services.

Combined, these mechanisms allow us to be responsive to project changes and bring the right resources based on the needs of the specific project.

2.8 Logistics (RFP V D.1-3)

In this section, we provide responses to the following subsections:
- 2.8.1 Approach to Meet the Requirements (RFP V D.3.xxvi)
- 2.8.2 Where Staff May Perform Work When Not On-Site (RFP V D.3.xxvii)

Additional information can be found in Section 2.9, focused on privacy and security.

2.8.1 Approach to Meet the Requirements (RFP V D.3.xxvi)

NTT DATA's approach to meeting the logistics requirements centers on maintaining information in a designated repository while sustaining the security and privacy of information, regardless of NTT DATA personnel's work location. Our approach to meeting the Logistics RFP requirements are discussed in Figure 72.

Figure 72. Logistics RFP Requirements

1. Must store all work products in DHHS designated repository and using designated folder structure.
NTT DATA will store all work products in the DHHS designated repository, using the designated folder structure. NTT DATA will follow DHHS policies and procedures, in addition to applying our own best practices, to protect the integrity and confidentiality of the data, promote information security, and respect the conventions of the designated repository. NTT DATA's IV&V Lead will work with DHHS to obtain a copy of the repository's policies and procedures, and its respective folder structure. This information will be used to train all NTT DATA assigned team members on proper use, conventions, structure, and information security requirements with respect to work products. NTT DATA's information security policies and procedures are developed by our Chief Information Security Office (CISO) and are part of required training that is validated through employee testing and quizzes. NTT DATA's security practices provide a means for NTT DATA employees and subcontractors to perform work while on-site or remotely using zero-trust hardware, software, policies, and procedures. These policies and procedures will serve as a supplement to the policies and procedures required by DHHS during the performance of this contract for all off-site (remote) work. For work performed on-site in Lincoln, using government furnished equipment and information, NTT DATA's IV&V Lead and IV&V Project Manager will strictly enforce the policies and procedures required by DHHS. Detailed information related to security and privacy is discussed in Section 2.9 Privacy and Security.

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2. Must have controlled access to all contractor facilities where any contract related work is performed in compliance with privacy and security requirements.
NTT DATA's facility security practices mandate strict controlled access and storage requirements to meet federal and international security standards for critical infrastructure facilities. As one of the world's largest data center operators and managed security service providers for the Department of Defense and Intelligence Community, NTT DATA maintains a globally applied, controlled access facility security program. Our program demonstrates a zero-trust environment, affording access to only authorized personnel within our facilities in accordance with the standards and requirements of the Defense Counterintelligence and Security Agency (DCSA). Additionally, all of our policies and procedures related to facility and information security are specifically designed to promote compliance with privacy and security requirements. Admittance into facilities requires the use of security badges that are issued to all personnel, including subcontractors and consultants as appropriate, during core business hours. Security badges are always to be worn and visible. The IV&V Program Manager tracks security badges in accordance with NTT DATA Facility Security Requirements. The Program Manager will facilitate obtaining security badges for NTT DATA staff when travel or work in State facilities is necessary. NTT DATA team members will be accountable for protecting their security badges throughout the contract. At the conclusion of the contract, security badges will be returned to the State or destroyed by NTT DATA as appropriate and in compliance with State security and privacy policies.

2.8.2 Where Staff May Perform Work When Not On-Site (RFP V D.3.xxvii)

When our personnel are not on-site, NTT DATA will provide remote work capabilities through NTT DATA-provided hardware and software, configured for zero-trust capabilities. This enables NTT DATA employees, regardless of work location, to uphold security and privacy practices and standards, and sustain the confidentiality, integrity, and accessibility of information and systems during the performance of this contract.

2.9 Privacy and Security (RFP V E.1-3)

In this section, we provide responses to the following subsections:

- 2.9.1 Approach to Meet the Requirements
- 2.9.2 Proposed Strategy, Methodology and Capabilities for Systems, Operational and Physical Security
- 2.9.3 Sample of a Privacy and Security Plan
- 2.9.4 How Workforce Privacy and Security Awareness is Supported
- 2.9.5 Approach to Monitoring Attempted Security Violations and the Actions that will be Taken

A sample Privacy and Security Plan is provided in Appendix G for the State's review.

2.9.1 Approach to Meet the Requirements (RFP V E.3.xxviii)

NTT DATA's approach to meeting the requirements for privacy and security of DHHS data includes a Privacy and Security Plan for securing electronic personal health information (ePHI), NE HHS enterprise information, and any content covered under HIPAA.

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Figure 73 provides details of this approach and discusses our Security and Privacy Plan which we have used with other clients (sample included in the Appendices).

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Figure 73. Privacy and Security Requirements and Approach

1. Must develop and submit a Privacy and Security Plan work product that includes a description of how contractor safeguards all state information that is transmitted within contractor's systems (i.e., email). The plan must be approved by DHHS prior to the contractor having access to project materials.
Upon contract award, NTT DATA will revise its current Privacy and Security Plan to comply with State requirements for privacy and security. We will also include a description on how NTT DATA will safeguard all state information transmitted within NTT DATA systems such as email. NTT DATA will provide the draft Privacy and Security Plan to the State for review during the Kickoff Meeting. This plan will be updated and presented to DHHS for approval prior to NTT DATA gaining access to project materials.
2. Must comply with all security and privacy laws, regulations, and policies, including HIPAA, and related breach notification laws and directives.
NTT DATA is a provider of IV&V services and Security and Privacy Assessment services to state and federal HHS agencies. It is our duty to both know and put into practice the laws, regulations, policies, and standards that guide the security of ePHI and PII. NTT DATA consults, utilizes, and complies with security and privacy requirements that include, but are not limited to: • The HIPAA Act of 1996 • HITECH Act of 2009 • Patient Protection Affordable Care Act of 2010 • Final Omnibus Rule of 2013 • NIST SP 800-66 Implementation Guide HIPAA Security Rule • Minimal Acceptable Risks for Security- Exchanges (MARS-E) The above legal requirements and industry standards address the application of breach notification requirements.
3. Must provide initial and ongoing privacy and security and HIPAA compliance training to all employees and contract personnel assigned to the project prior to providing access to PHI.
Privacy, security, and HIPAA compliance training are part of NTT DATA's initial and annual employee training. NTT DATA's current training policy applies to full-time and part-time regular and transitional employees in the company. The policy outlines NTT DATA's training and education goals, opportunities, and requirements, as well as the company's mode for promoting total adoption of our training standards through a variety of online and in-person resources. Our New Employee Orientation and Continuing Education programs include a 2021 HIPAA Privacy and Security Training Campaign provided by NTT DATA Global HR. The HIPAA Privacy and Security Training courses are mandatory for all NTT DATA staff (e.g., employees, temporary personnel, and contractors) who work on or support U.S. Healthcare and Life Sciences accounts or that may come in contact with PHI while performing their job. All individuals supporting the U.S. healthcare industry or government health agencies are required to complete such training and cover content such as the HIPAA Security Rule and HIPAA Privacy Rule and the best practices for protecting information, avoiding violations, roles of individual employees in preventing breaches, and best practices to reduce risks to ePHI including how to achieve better security when emailing, browsing the web, or remotely accessing ePHI. The requirements for training and education regarding HIPAA privacy and security are designed to meet an annual compliance requirement to which NTT DATA complies. Our team will also complete any state-required compliance training as required by DHHS policy and state law. Additional information is discussed in Section 2.9.4 of this proposal regarding our training delivery compliance methods.

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4. Must take all reasonable industry recognized methods to secure the system from un-authorized access.
NTT DATA has a stringent information and network access data security policy requiring all employees to comply with NTT DATA CISO policies, standards, and regulations as developed from legal and industry requirements for information and system security to protect against unauthorized access. Our consultants work within a zero-trust information architecture with least privileges, end-to-end encryption, and multiple layers of administrative approval requirements to gain access to NTT DATA hardware, software, networks, or data. NTT DATA will take all reasonable industry-recognized methods to secure the systems from unauthorized access.
5. Must permanently destroy all confidential data and protected health information entrusted to the contractor for the performance of the contract upon approval of DHHS.
For confidential data and PHI entrusted to NTT DATA on DHHS-provided equipment, we will work with the appropriate DHHS information security representatives to permanently destroy all confidential data and protected health information upon an event such as termination or reassignment of an NTT DATA employee. This includes providing notification to the appropriate DHHS information security or information technology resources that manage credentialing access to DHHS equipment, networks, applications, and data. NTT DATA will confirm with DHHS that all access to equipment, networks, applications, and data are revoked for personnel no longer needing access to such information or devices. For confidential data and PHI that may be collected, stored, or transmitted on NTT DATA-owned devices, our Chief Information Security Officer has implemented global policies and methods of information, software, and hardware controls to protect confidential data and PHI. During the performance of the contract, NTT DATA will apply our CISO's guidance and DHHS requirements, with approval from DHHS, to permanently destroy confidential data and PHI using the most effective and compliant data destruction methods available to NTT DATA.

2.9.2 Proposed Strategy, Methodology and Capabilities for Systems, Operational and Physical Security (RFP V E.3.xxix)

Our proposed strategy, methodology, and capabilities for systems, operational, and physical security are outlined in NTT DATA's Sample Security and Privacy Plan. This plan includes strategies and methodologies, coordinated by our IV&V Lead along with NTT DATA corporate resources (e.g., Legal, IT department, Incident Response Team), and combines technology and procedural safeguards to reinforce the confidentiality and integrity of all information created, transmitted, or stored during the performance of this contract. As a mature organization that serves federal, state, and local government agencies, our security and privacy policies and practices are well-equipped and proven successful.

2.9.3 Sample of a Privacy and Security Plan (RFP V E.3.xxx)

NTT DATA's Sample Privacy and Security Plan is included in Appendix G and includes our instructions and procedures (RFP V E.3.xxxi) for maintaining the privacy and security of ePHI and PHI. The document is a de-identified example from another state client and is in the template that will be used for DHHS.

We typically do not create the Security and Privacy Plan for the projects, as those are usually created by the agency and software vendor for each project and then assessed by IV&V. However, if MLTC prefers our team produce the Security and Privacy Plans for projects, we have the expertise, capability, and tools/templates from our Project Advantage methodology, as

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well as experience as a PMO vendor.

2.9.4 Privacy and Security Plan Template with Instructions and Procedures (RFP V E.3.xxxi)

We included a sample Privacy and Security Plan, see Appendix G, that has been approved by our corporate offices. This demonstrates our policies and procedures as a corporation, on protecting privacy and security of information systems and information that resides within our network.

2.9.5 How Workforce Privacy and Security Awareness is Supported (RFP V E.3.xxxii)

NTT DATA has company mandates for all employees, contractors, subcontractors, and temporary employees to undergo mandatory privacy and security awareness training, conducted via NTT DATA Catalys Learning Management System (LMS). The LMS provides guided instruction and assessments that require a minimum threshold for certification and all scores, records, and compliance requirements are automatically tracked. In accordance with NTT DATA policies, our personnel will complete training at least annually. An automated email notification of any upcoming training requirements will be sent to each individual for action. In an operational setting, managers are expected to conduct proactive surveys of employee knowledge and compliance with privacy and security requirements. Additional information related to privacy and security practices is discussed in our Privacy and Security Plan.

2.9.6 Approach to Monitoring Attempted Security Violations and the Actions that will be Taken (RFP V E.3.xxxiii)

In the event a project member working on the State's systems is involved in a security violation, the IV&V Lead, who will function as the Security Coordinator in alignment with the Sample Privacy and Security Plan, will take immediate action, implementing state rules, regulations, and policies to coordinate appropriate actions and communication with the State.

When NTT DATA's information systems are used to create, transmit, and store data, NTT DATA's Security Incident Management policies and procedures will be used to address the security incidents. In accordance with the RFP requirements, NTT DATA has developed a Privacy and Security Plan that includes procedures to respond to suspected or confirmed security violations. NTT DATA's methods for monitoring attempted security violations on its networks include information security group policy management, zero-trust platforms, end-to-end encryption, and system activity monitoring through security operations control management, vulnerability assessment appliances, virtual private networks, and packet capture analysis. These functions are performed by NTT DATA's IT departments with enforcement activities promoted by managers and leadership operating on-site or remotely. Violators of security policies are subject to administrative and legal actions as appropriate to the scope of the violation. NTT DATA has an Incident Response Team that will take action upon received violation notices, received through a variety of channels. The Incident Response Team works with NTT DATA leadership to address violations appropriately, based on the incident. We will collaborate with DHHS to establish the acceptable time period in which NTT DATA reports violations to the State.

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APPENDIX A – ORIGINAL REQUEST FOR PROPOSAL FOR CONTRACTUAL SERVICES

Appendix A begins on the next page.

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REQUEST FOR PROPOSAL FOR CONTRACTUAL SERVICES FORM

CONTRACTOR MUST COMPLETE THE FOLLOWING

By signing this Request for Proposal for Contractual Services form, the contractor guarantees compliance with the procedures stated in this Solicitation, and agrees to the terms and conditions unless otherwise indicated in writing and certifies that contractor maintains a drug free work place.

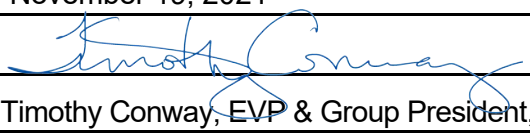
Per Nebraska's Transparency in Government Procurement Act, Neb. Rev Stat § 73-603 DAS is required to collect statistical information regarding the number of contracts awarded to Nebraska Contractors. This information is for statistical purposes only and will not be considered for contract award purposes.

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

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

__NA__ I hereby certify that I am a blind person licensed by the Commission for the Blind & Visually Impaired in accordance with Neb. Rev. Stat. §71-8611 and wish to have preference considered in the award of this contract.

FORM MUST BE SIGNED USING AN INDELIBLE METHOD (NOT ELECTRONICALLY)

FIRM:	NTT DATA State Health Consulting, LLC
COMPLETE ADDRESS:	7950 Legacy Drive, Suite 900 Plano, TX 75024
TELEPHONE NUMBER:	(800) 745-3263
FAX NUMBER:	NA
DATE:	November 19, 2021
SIGNATURE:	
TYPED NAME & TITLE OF SIGNER:	Timothy Conway, EVP & Group President, Public Sector

APPENDIX B – FORM A CONTRACTOR PROPOSAL POINT OF CONTACT REQUEST FOR PROPOSAL #109035 O3

Appendix B begins on the next page.

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Form A
Contractor Proposal Point of Contact
Request for Proposal Number 109035 O3

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

Preparation of Response Contact Information	
Contractor Name:	NTT DATA State Health Consulting, LLC
Contractor Address:	7950 Legacy Drive, Suite 900 Plano, TX 75024
Contact Person & Title:	Deirdre McCormick | Business Development Sr Advisor
E-mail Address:	deirdre.mccormick@nttdata.com
Telephone Number (Office):	(207) 649-0885
Telephone Number (Cellular):	(207) 649-0885
Fax Number:	NA

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

Communication with the State Contact Information	
Contractor Name:	NTT DATA State Health Consulting, LLC
Contractor Address:	7950 Legacy Drive, Suite 900 Plano, TX 75024
Contact Person & Title:	Jean Doeringsfeld, Business Consulting Director
E-mail Address:	jean.doeringsfeld@nttdata.com
Telephone Number (Office):	(608) 219-9828
Telephone Number (Cellular):	(608) 219-9828
Fax Number:	NA

APPENDICES C, D, E

C. RFP SECTION II. TERMS AND CONDITIONS
D. RFP SECTION III. CONTRACTOR DUTIES
E. RFP SECTION IV. PAYMENT

Appendices C, D, E are one continuous document and begin on the next page.

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II. TERMS AND CONDITIONS

Contractors should complete Sections II through VI as part of their proposal. Contractor is expected to read the Terms and Conditions and should initial either accept, reject, or reject and provide alternative language for each clause. The Contractor should also provide an explanation of why the Contractor rejected the clause or rejected the clause and provided alternate language. By signing the solicitation, contractor is agreeing to be legally bound by all the accepted terms and conditions, and any proposed alternative terms and conditions submitted with the proposal. The State reserves the right to negotiate rejected or proposed alternative language. If the State and Contractor fail to agree on the final Terms and Conditions, the State reserves the right to reject the proposal. The State of Nebraska is soliciting proposals in response to this solicitation. The State reserves the right to reject proposals that attempt to substitute the Contractor's commercial contracts and/or documents for this solicitation.

The Contractors should submit with their proposal any license, user agreement, service level agreement, or similar documents that the Contractor wants incorporated in the Contract. The State will not consider incorporation of any document not submitted with the Contractor's proposal as the document will not have been included in the evaluation process. These documents shall be subject to negotiation and will be incorporated as addendums if agreed to by the Parties.

If a conflict or ambiguity arises after the Addendum to Contract Award have been negotiated and agreed to, the Addendum to Contract Award shall be interpreted as follows:

1. If only one Party has a particular clause then that clause shall control;
2. If both Parties have a similar clause, but the clauses do not conflict, the clauses shall be read together;
3. If both Parties have a similar clause, but the clauses conflict, the State's clause shall control.

A. GENERAL

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

The contract resulting from this solicitation shall incorporate the following documents:

1. Request for Proposal and Addenda;
2. Amendments to the solicitation;
3. Questions and Answers;
4. Contractor's proposal (Solicitation and properly submitted documents);
5. The executed Contract and Addendum One to Contract, if applicable; and,
6. Amendments/Addendums to the Contract.

These documents constitute the entirety of the contract.

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

Any ambiguity or conflict in the contract discovered after its execution, not otherwise addressed herein, shall be resolved in accordance with the rules of contract interpretation as established in the State of Nebraska.

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B. NOTIFICATION

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

Contractor and State shall identify the contract manager who shall serve as the point of contact for the executed contract.

Communications regarding the executed contract shall be in writing and shall be deemed to have been given if delivered personally or mailed, by U.S. Mail, postage prepaid, return receipt requested, to the parties at their respective addresses set forth below, or at such other addresses as may be specified in writing by either of the parties. All notices, requests, or communications shall be deemed effective upon personal delivery or five (5) calendar days following deposit in the mail.

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

C. NOTICE (POC)

The State reserves the right to appoint a Buyer's Representative to manage [or assist the Buyer in managing] the contract on behalf of the State. The Buyer's Representative will be appointed in writing, and the appointment document will specify the extent of the Buyer's Representative authority and responsibilities. If a Buyer's Representative is appointed, the Contractor will be provided a copy of the appointment document, and is expected to cooperate accordingly with the Buyer's Representative. The Buyer's Representative has no authority to bind the State to a contract, amendment, addendum, or other change or addition to the contract.

D. GOVERNING LAW (Statutory)

Notwithstanding any other provision of this contract, or any amendment or addendum(s) entered into contemporaneously or at a later time, the parties understand and agree that, (1) the State of Nebraska is a sovereign state and its authority to contract is therefore subject to limitation by the State's Constitution, statutes, common law, and regulation; (2) this contract will be interpreted and enforced under the laws of the State of Nebraska; (3) any action to enforce the provisions of this agreement must be brought in the State of Nebraska per state law; (4) the person signing this contract on behalf of the State of Nebraska does not have the authority to waive the State's sovereign immunity, statutes, common law, or regulations; (5) the indemnity, limitation of liability, remedy, and other similar provisions of the final contract, if any, are entered into subject to the State's Constitution, statutes, common law, regulations, and sovereign immunity; and, (6) all terms and conditions of the final contract, including but not limited to the clauses concerning third party use, licenses, warranties, limitations of liability, governing law and venue, usage verification, indemnity, liability, remedy or other similar provisions of the final contract are entered into specifically subject to the State's Constitution, statutes, common law, regulations, and sovereign immunity.

The Parties must comply with all applicable local, state and federal laws, ordinances, rules, orders, and regulations.

E. BEGINNING OF WORK

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

F. AMENDMENT

This Contract may be amended in writing, within scope, upon the agreement of both parties.

G. CHANGE ORDERS OR SUBSTITUTIONS

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

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		Response (Initial)	
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The State and the Contractor, upon the written agreement, may make changes to the contract within the general scope of the solicitation. Changes may involve specifications, the quantity of work, or such other items as the State may find necessary or desirable. Corrections of any deliverable, service, or work required pursuant to the contract shall not be deemed a change. The Contractor may not claim forfeiture of the contract by reasons of such changes.

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

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

*****Contractor will not substitute any item that has been awarded without prior written approval of SPB*****

H. VENDOR PERFORMANCE REPORT(S)

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

The State may document any instance(s) of products or services delivered or performed which exceed or fail to meet the terms of the purchase order, contract, and/or solicitation specifications. The State Purchasing Bureau may contact the Vendor regarding any such report. Vendor performance report(s) will become a part of the permanent record of the Vendor.

I. NOTICE OF POTENTIAL CONTRACTOR BREACH

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

If Contractor breaches the contract or anticipates breaching the contract, the Contractor shall immediately give written notice to the State. The notice shall explain the breach or potential breach, a proposed cure, and may include a request for a waiver of the breach if so desired. The State may, in its discretion, temporarily or permanently waive the breach. By granting a waiver, the State does not forfeit any rights or remedies to which the State is entitled by law or equity, or pursuant to the provisions of the contract. Failure to give immediate notice, however, may be grounds for denial of any request for a waiver of a breach.

J. BREACH

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

Either Party may terminate the contract, in whole or in part, if the other Party breaches its duty to perform its obligations under the contract in a timely and proper manner. Termination requires written notice of default and a thirty (30) calendar day (or longer at the non-breaching Party's discretion considering the gravity and nature of the default) cure period. Said notice shall be delivered by Certified Mail, Return Receipt Requested, or in person with proof of delivery. Allowing time to cure a failure or breach of contract does not waive the right to immediately terminate the contract for the same or different contract breach which may occur at a different time. In case of default of the Contractor, the State may contract the service from other sources and hold the Contractor responsible for any excess cost occasioned thereby. OR In case of breach by the Contractor, the State may, without unreasonable delay, make a good faith effort to make a reasonable purchase or contract to purchased goods in substitution of those due from the contractor. The State may recover from the Contractor as damages the difference between the costs of covering the breach. Notwithstanding any clause to the contrary, the State may also recover the contract price together with any incidental or consequential damages defined in UCC Section 2-715, but less expenses saved in consequence of Contractor's breach.

The State's failure to make payment shall not be a breach, and the Contractor shall retain all available statutory remedies and protections.

K. NON-WAIVER OF BREACH

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

The acceptance of late performance with or without objection or reservation by a Party shall not waive any rights of the Party nor constitute a waiver of the requirement of timely performance of any obligations remaining to be performed.

L. SEVERABILITY

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

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

M. INDEMNIFICATION

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

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		Response (Initial)	
		DS	Addition of provision: 6. Limitation of Liability Neither party will be liable for incidental or consequential damages, including without limitation lost revenues or profits, and Vendor's liability, regardless of the cause of action, will not exceed the annual value of the contract

1. GENERAL

The Contractor agrees to defend, indemnify, and hold harmless the State and its employees, volunteers, agents, and its elected and appointed officials (for the purposes of this section, "the Indemnified Parties") from and against any and all third party claims, liens, demands, damages, liability, actions, causes of action, losses, judgments, costs, and expenses of every nature, including investigation costs and expenses, settlement costs, and attorney fees and expenses (for the purposes of this section, "the Claims"), sustained or asserted against the State for personal injury, death, or property loss or damage, arising out of, resulting from, or attributable to the willful misconduct, negligence, error, or omission of the Contractor, its employees, Subcontractors, consultants, representatives, and agents, resulting from this contract, except to the extent such Contractor liability is attenuated by any action of the State which directly and proximately contributed to the Claims.

2. INTELLECTUAL PROPERTY

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

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

3. PERSONNEL

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

4. SELF-INSURANCE

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

5. LEGAL REPRESENTATION

The Parties acknowledge that Attorney General for the State of Nebraska is required by statute to represent the legal interests of the State, and that any provision of this indemnity clause is subject to the statutory authority of the Attorney General.

N. ATTORNEY'S FEES

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

In the event of any litigation, appeal, or other legal action to enforce any provision of the contract, the Parties agree to pay all expenses of such action, as permitted by law and if ordered by the court, including attorney's fees and costs, if the other Party prevails.

O. ASSIGNMENT, SALE, OR MERGER

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

Either Party may assign the contract upon mutual written agreement of the other Party. Such agreement shall not be unreasonably withheld.

The Contractor retains the right to enter into a sale, merger, acquisition, internal reorganization, or similar transaction involving Contractor's business. Contractor agrees to cooperate with the State in executing amendments to the contract to allow for the transaction. If a third party is involved in the transaction, the Contractor will remain responsible for performance of the contract until such time as said third party involved in the transaction agrees in writing to be contractually bound by this contract and perform all obligations of the contract.

P. CONTRACTING WITH OTHER NEBRASKA POLITICAL SUB-DIVISIONS OF THE STATE OR ANOTHER STATE

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

The Contractor may, but shall not be required to, allow agencies, as defined in Neb. Rev. Stat. §81-145, to use this contract. The terms and conditions, including price, of the contract may not be amended. The State shall not be contractually obligated or liable for any contract entered into pursuant to this clause. A listing of Nebraska political subdivisions may be found at the website of the Nebraska Auditor of Public Accounts.

The Contractor may, but shall not be required to, allow other states, agencies or divisions of other states, or political subdivisions of other states to use this contract. The terms and conditions, including price, of this contract shall apply to any such contract, but may be amended upon mutual consent of the Parties. The State shall not be contractually or otherwise obligated or liable under any contract entered into pursuant to this clause. The State shall be notified if a contract is executed based upon this contract.

Q. FORCE MAJEURE

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

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Neither Party shall be liable for any costs or damages, or for default resulting from its inability to perform any of its obligations under the contract due to a natural or manmade event outside the control and not the fault of the affected Party ("Force Majeure Event"). The Party so affected shall immediately make a written request for relief to the other Party, and shall have the burden of proof to justify the request. The other Party may grant the relief requested; relief may not be unreasonably withheld. Labor disputes with the impacted Party's own employees will not be considered a Force Majeure Event.

R. CONFIDENTIALITY

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

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

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

S. OFFICE OF PUBLIC COUNSEL (Statutory)
If it provides, under the terms of this contract and on behalf of the State of Nebraska, health and human services to individuals; service delivery; service coordination; or case management, Contractor shall submit to the jurisdiction of the Office of Public Counsel, pursuant to Neb. Rev. Stat. §§ 81-8,240 et seq. This section shall survive the termination of this contract.

T. LONG-TERM CARE OMBUDSMAN (Statutory)
Contractor must comply with the Long-Term Care Ombudsman Act, per Neb. Rev. Stat. §§ 81-2237 et seq. This section shall survive the termination of this contract.

U. EARLY TERMINATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
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The contract may be terminated as follows:

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1. The State and the Contractor, by mutual written agreement, may terminate the contract at any time.

2. The State, in its sole discretion, may terminate the contract for any reason upon thirty (30) calendar day's written notice to the Contractor. Such termination shall not relieve the Contractor of warranty or other service obligations incurred under the terms of the contract. In the event of termination the Contractor shall be entitled to payment, determined on a pro rata basis, for products or services satisfactorily performed or provided.

3. The State may terminate the contract immediately for the following reasons:

- **a.** if directed to do so by statute;
- **b.** Contractor has made an assignment for the benefit of creditors, has admitted in writing its inability to pay debts as they mature, or has ceased operating in the normal course of business;
- **c.** a trustee or receiver of the Contractor or of any substantial part of the Contractor's assets has been appointed by a court;
- **d.** fraud, misappropriation, embezzlement, malfeasance, misfeasance, or illegal conduct pertaining to performance under the contract by its Contractor, its employees, officers, directors, or shareholders;
- **e.** an involuntary proceeding has been commenced by any Party against the Contractor under any one of the chapters of Title 11 of the United States Code and (i) the proceeding has been pending for at least sixty (60) calendar days; or (ii) the Contractor has consented, either expressly or by operation of law, to the entry of an order for relief; or (iii) the Contractor has been decreed or adjudged a debtor;
- **f.** a voluntary petition has been filed by the Contractor under any of the chapters of Title 11 of the United States Code;
- **g.** Contractor intentionally discloses confidential information;
- **h.** Contractor has or announces it will discontinue support of the deliverable; and,
- **i.** In the event funding is no longer available.

V. CONTRACT CLOSEOUT

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

Upon contract closeout for any reason the Contractor shall within 30 days, unless stated otherwise herein:

1. Transfer all completed or partially completed deliverables to the State;
2. Transfer ownership and title to all completed or partially completed deliverables to the State;
3. Return to the State all information and data, unless the Contractor is permitted to keep the information or data by contract or rule of law. Contractor may retain one copy of any information or data as required to comply with applicable work product documentation standards or as are automatically retained in the course of Contractor's routine back up procedures;
4. Cooperate with any successor Contactor, person or entity in the assumption of any or all of the obligations of this contract;
5. Cooperate with any successor Contactor, person or entity with the transfer of information or data related to this contract;
6. Return or vacate any state owned real or personal property; and,
7. Return all data in a mutually acceptable format and manner.

Nothing in this Section should be construed to require the Contractor to surrender intellectual property, real or personal property, or information or data owned by the Contractor for which the State has no legal claim.

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III. CONTRACTOR DUTIES

A. INDEPENDENT CONTRACTOR / OBLIGATIONS

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

It is agreed that the Contractor is an independent contractor and that nothing contained herein is intended or should be construed as creating or establishing a relationship of employment, agency, or a partnership.

The Contractor is solely responsible for fulfilling the contract. The Contractor or the Contractor's representative shall be the sole point of contact regarding all contractual matters.

The Contractor shall secure, at its own expense, all personnel required to perform the services under the contract. The personnel the Contractor uses to fulfill the contract shall have no contractual or other legal relationship with the State; they shall not be considered employees of the State and shall not be entitled to any compensation, rights or benefits from the State, including but not limited to, tenure rights, medical and hospital care, sick and vacation leave, severance pay, or retirement benefits.

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

All personnel assigned by the Contractor to the contract shall be employees of the Contractor or a subcontractor, and shall be fully qualified to perform the work required herein. Personnel employed by the Contractor or a subcontractor to fulfill the terms of the contract shall remain under the sole direction and control of the Contractor or the subcontractor respectively.

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

1. Any and all pay, benefits, and employment taxes and/or other payroll withholding;
2. Any and all vehicles used by the Contractor's employees, including all insurance required by state law;
3. Damages incurred by Contractor's employees within the scope of their duties under the contract;
4. Maintaining Workers' Compensation and health insurance that complies with state and federal law and submitting any reports on such insurance to the extent required by governing law;
5. Determining the hours to be worked and the duties to be performed by the Contractor's employees; and,
6. All claims on behalf of any person arising out of employment or alleged employment (including without limit claims of discrimination alleged against the Contractor, its officers, agents, or subcontractors or subcontractor's employees)

If the Contractor intends to utilize any subcontractor, the subcontractor's level of effort, tasks, and time allocation should be clearly defined in the contractor's proposal. The Contractor shall agree that it will not utilize any subcontractors not specifically included in its proposal in the performance of the contract without the prior written authorization of the State.

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

Contractor shall insure that the terms and conditions contained in any contract with a subcontractor does not conflict with the terms and conditions of this contract.

The Contractor shall include a similar provision, for the protection of the State, in the contract with any Subcontractor engaged to perform work on this contract.

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B. EMPLOYEE WORK ELIGIBILITY STATUS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DS TC			

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

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

1. The Contractor must complete the United States Citizenship Attestation Form, available on the Department of Administrative Services website at http://das.nebraska.gov/materiel/purchasing.html

2. The completed United States Attestation Form should be submitted with the solicitation response.

3. If the Contractor indicates on such attestation form that he or she is a qualified alien, the Contractor agrees to provide the US Citizenship and Immigration Services documentation required to verify the Contractor's lawful presence in the United States using the Systematic Alien Verification for Entitlements (SAVE) Program.

4. The Contractor understands and agrees that lawful presence in the United States is required and the Contractor may be disqualified or the contract terminated if such lawful presence cannot be verified as required by Neb. Rev. Stat. §4-108.

C. COMPLIANCE WITH CIVIL RIGHTS LAWS AND EQUAL OPPORTUNITY EMPLOYMENT / NONDISCRIMINATION (Statutory)

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

D. COOPERATION WITH OTHER CONTRACTORS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DS TC			

Contractor may be required to work with or in close proximity to other contractors or individuals that may be working on same or different projects. The Contractor shall agree to cooperate with such other contractors or individuals, and shall not commit or permit any act which may interfere with the performance of work by

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any other contractor or individual. Contractor is not required to compromise Contractor's intellectual property or proprietary information unless expressly required to do so by this contract.

E. DISCOUNTS

Prices quoted shall be inclusive of ALL trade discounts. Cash discount terms of less than thirty (30) days will not be considered as part of the proposal. Cash discount periods will be computed from the date of receipt of a properly executed claim voucher or the date of completion of delivery of all items in a satisfactory condition, whichever is later.

F. PRICES

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

Prices submitted on the cost proposal form shall remain fixed for the life of the contract.

G. COST CLARIFICATION

The State reserves the right to review all aspects of cost for reasonableness and to request clarification of any proposal where the cost component shows significant and unsupported deviation from industry standards or in areas where detailed pricing is required.

H. PERMITS, REGULATIONS, LAWS

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

The contract price shall include the cost of all royalties, licenses, permits, and approvals, whether arising from patents, trademarks, copyrights or otherwise, that are in any way involved in the contract. The Contractor shall obtain and pay for all royalties, licenses, and permits, and approvals necessary for the execution of the contract. The Contractor must guarantee that it has the full legal right to the materials, supplies, equipment, software, and other items used to execute this contract.

I. OWNERSHIP OF INFORMATION AND DATA / DELIVERABLES

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

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

The State shall own and hold exclusive title to any deliverable developed as a result of this contract. Contractor shall have no ownership interest or title, and shall not patent, license, or copyright, duplicate, transfer, sell, or exchange, the design, specifications, concept, or deliverable.

J. INSURANCE REQUIREMENTS

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

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The Contractor shall throughout the term of the contract maintain insurance as specified herein and provide the State a current Certificate of Insurance/Acord Form (COI) verifying the coverage. The Contractor shall not commence work on the contract until the insurance is in place. If Contractor subcontracts any portion of the Contract the Contractor must, throughout the term of the contract, either:

1. Provide equivalent insurance for each subcontractor and provide a COI verifying the coverage for the subcontractor;
2. Require each subcontractor to have equivalent insurance and provide written notice to the State that the Contractor has verified that each subcontractor has the required coverage; or,
3. Provide the State with copies of each subcontractor's Certificate of Insurance evidencing the required coverage.

The Contractor shall not allow any Subcontractor to commence work until the Subcontractor has equivalent insurance. The failure of the State to require a COI, or the failure of the Contractor to provide a COI or require subcontractor insurance shall not limit, relieve, or decrease the liability of the Contractor hereunder.

In the event that any policy written on a claims-made basis terminates or is canceled during the term of the contract or within two (2) years of termination or expiration of the contract, the contractor shall obtain an extended discovery or reporting period, or a new insurance policy, providing coverage required by this contract for the term of the contract and two (2) years following termination or expiration of the contract.

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

Notwithstanding any other clause in this Contract, the State may recover up to the liability limits of the insurance policies required herein.

1. **WORKERS' COMPENSATION INSURANCE**
   The Contractor shall take out and maintain during the life of this contract the statutory Workers' Compensation and Employer's Liability Insurance for all of the contactors' employees to be engaged in work on the project under this contract and, in case any such work is sublet, the Contractor shall require the Subcontractor similarly to provide Worker's Compensation and Employer's Liability Insurance for all of the Subcontractor's employees to be engaged in such work. This policy shall be written to meet the statutory requirements for the state in which the work is to be performed, including Occupational Disease. **The policy shall include a waiver of subrogation in favor of the State. The COI shall contain the mandatory COI subrogation waiver language found hereinafter**. The amounts of such insurance shall not be less than the limits stated hereinafter. For employees working in the State of Nebraska, the policy must be written by an entity authorized by the State of Nebraska Department of Insurance to write Workers' Compensation and Employer's Liability Insurance for Nebraska employees.

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

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

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contributory. **The COI shall contain the mandatory COI liability waiver language found hereinafter.** The Commercial Automobile Liability Insurance shall be written to cover all Owned, Non-owned, and Hired vehicles.

REQUIRED INSURANCE COVERAGE	
COMMERCIAL GENERAL LIABILITY	
General Aggregate	$2,000,000
Products/Completed Operations Aggregate	$2,000,000
Personal/Advertising Injury	$1,000,000 per occurrence
Bodily Injury/Property Damage	$1,000,000 per occurrence
Medical Payments	$10,000 any one person
Damage to Rented Premises (Fire)	$300,000 each occurrence
Contractual	Included
XCU Liability (Explosion, Collapse, and Underground Damage)	Included
Independent Contractors	Included
Abuse & Molestation	Included
WORKER'S COMPENSATION	
Employers Liability Limits	$500K/$500K/$500K
Statutory Limits- All States	Statutory - State of Nebraska
USL&H Endorsement	Statutory
Voluntary Compensation	Statutory
COMMERCIAL AUTOMOBILE LIABILITY	
Bodily Injury/Property Damage	$1,000,000 combined single limit
Include All Owned, Hired & Non-Owned Automobile liability	Included
Motor Carrier Act Endorsement	Where Applicable
UMBRELLA/EXCESS LIABILITY	
Over Primary Insurance	$5,000,000 per occurrence
COMMERCIAL CRIME	
Crime/Employee Dishonesty Including 3rd Party Fidelity	$1,000,000
CYBER LIABILITY	
Breach of Privacy, Security Breach, Denial of Service, Remediation, Fines and Penalties	$10,000,000
CONTRACTOR'S POLLUTION LIABILITY	
Each Occurrence/Aggregate Limit	$2,000,000
Includes Non-Owned Disposal Sites	
MANDATORY COI SUBROGATION WAIVER LANGUAGE	
"Workers' Compensation policy shall include a waiver of subrogation in favor of the State of Nebraska."	
MANDATORY COI LIABILITY WAIVER LANGUAGE	
"Commercial General Liability & Commercial Automobile Liability policies shall name the State of Nebraska as an Additional Insured and the policies shall be primary and any insurance or self-insurance carried by the State shall be considered secondary and non-contributory as additionally insured."	

3. EVIDENCE OF COVERAGE

The Contractor shall furnish the Contract Manager, with a certificate of insurance coverage complying with the above requirements prior to beginning work at:

Department of Health and Human Services
Attn: IV&V Contract Manager
301 Centennial Mall South, 5th Floor
Lincoln, NE 68508

These certificates or the cover sheet shall reference the RFP number, and the certificates shall include the name of the company, policy numbers, effective dates, dates of expiration, and

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amounts and types of coverage afforded. If the State is damaged by the failure of the Contractor to maintain such insurance, then the Contractor shall be responsible for all reasonable costs properly attributable thereto.

Reasonable notice of cancellation of any required insurance policy must be submitted to the contract manager as listed above when issued and a new coverage binder shall be submitted immediately to ensure no break in coverage.

4. DEVIATIONS

The insurance requirements are subject to limited negotiation. Negotiation typically includes, but is not necessarily limited to, the correct type of coverage, necessity for Workers' Compensation, and the type of automobile coverage carried by the Contractor.

K. NOTICE OF POTENTIAL CONTRACTOR BREACH

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DS TL			

If Contractor breaches the contract or anticipates breaching the contract the Contractor shall immediately give written notice to the State. The notice shall explain the breach or potential breach, and may include a request for a waiver of the breach if so desired. The State may, at its discretion, temporarily or permanently waive the breach. By granting a temporary waiver, the State does not forfeit any rights or remedies to which the State is entitled by law or equity, or pursuant to the provisions of the contract. Failure to give immediate notice, however, may be grounds for denial of any request for a waiver of a breach.

L. ANTITRUST

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DS TL			

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

M. CONFLICT OF INTEREST

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DS TL			

By submitting a proposal, Bidder certifies that no relationship exists between the Bidder and any person or entity which either is, or gives the appearance of, a conflict of interest related to this Request for Proposal or project.

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Bidder further certifies that Bidder will not employ any individual known by bidder to have a conflict of interest nor shall bidder take any action or acquire any interest, either directly or indirectly, which will conflict in any manner or degree with the performance of its contractual obligations hereunder or which creates an actual or appearance of conflict of interest.

If there is an actual or perceived conflict of interest, Bidder shall provide with its proposal a full disclosure of the facts describing such actual or perceived conflict of interest and a proposed mitigation plan for consideration. The State will then consider such disclosure and proposed mitigation plan and either approve or reject as part of the overall bid evaluation.

N. STATE PROPERTY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
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The Contractor shall be responsible for the proper care and custody of any State-owned property which is furnished for the Contractor's use during the performance of the contract. The Contractor shall reimburse the State for any loss or damage of such property; normal wear and tear is expected.

O. SITE RULES AND REGULATIONS

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

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

P. ADVERTISING

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

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

Q. NEBRASKA TECHNOLOGY ACCESS STANDARDS (Statutory)

Contractor shall review the Nebraska Technology Access Standards, found at http://nitc.nebraska.gov/standards/2-201.html and ensure that products and/or services provided under the

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contract are in compliance or will comply with the applicable standards to the greatest degree possible. In the event such standards change during the Contractor's performance, the State may create an amendment to the contract to request the contract comply with the changed standard at a cost mutually acceptable to the parties.

R. DISASTER RECOVERY/BACK UP PLAN

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

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

S. DRUG POLICY

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

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

T. WARRANTY

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

Despite any clause to the contrary, the Contractor represents and warrants that its services hereunder shall be performed by competent personnel and shall be of professional quality consistent with generally accepted industry standards for the performance of such services and shall comply in all respects with the requirements of this Agreement. For any breach of this warranty, the Contractor shall, for a period of ninety (90) days from performance of the service, perform the services again, at no cost to Customer, or if Contractor is unable to perform the services as warranted, Contractor shall reimburse Customer the fees paid to Contractor for the unsatisfactory services. The rights and remedies of the parties under this warranty are in addition to any other rights and remedies of the parties provided by law or equity, including, without limitation actual damages, and, as applicable and awarded under the law, to a prevailing party, reasonable attorneys' fees and costs.

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IV. PAYMENT

A. PROHIBITION AGAINST ADVANCE PAYMENT (Statutory)

Neb. Rev. Stat. §§81-2403 states, "[n]o goods or services shall be deemed to be received by an agency until all such goods or services are completely delivered and finally accepted by the agency."

B. TAXES (Statutory)

The State is not required to pay taxes and assumes no such liability as a result of this solicitation. The Contractor may request a copy of the Nebraska Department of Revenue, Nebraska Resale or Exempt Sale Certificate for Sales Tax Exemption, Form 13 for their records. Any property tax payable on the Contractor's equipment which may be installed in a state-owned facility is the responsibility of the Contractor.

C. INVOICES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DS TC			

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

D. INSPECTION AND APPROVAL

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DS TC			

Final inspection and approval of all work required under the contract shall be performed by the designated State officials.

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

E. PAYMENT (Statutory)

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DS TC			

Payment will be made by the responsible agency in compliance with the State of Nebraska Prompt Payment Act (See Neb. Rev. Stat. §81-2403). The State may require the Contractor to accept payment by electronic

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means such as ACH deposit. In no event shall the State be responsible or liable to pay for any goods and services provided by the Contractor prior to the Effective Date of the contract, and the Contractor hereby waives any claim or cause of action for any such services.

F. LATE PAYMENT (Statutory)

The Contractor may charge the responsible agency interest for late payment in compliance with the State of Nebraska Prompt Payment Act (See Neb. Rev. Stat. §81-2401 through 81-2408).

G. SUBJECT TO FUNDING / FUNDING OUT CLAUSE FOR LOSS OF APPROPRIATIONS (Statutory)

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

H. RIGHT TO AUDIT (First Paragraph is Statutory)

The State shall have the right to audit the Contractor's performance of this contract upon a thirty (30) days' written notice. Contractor shall utilize generally accepted accounting principles, and shall maintain the accounting records, and other records and information relevant to the contract (Information) to enable the State to audit the contract. (Neb. Rev. Stat. §84-304 et seq.) The State may audit and the Contractor shall maintain, the Information during the term of the contract and for a period of five (5) years after the completion of this contract or until all issues or litigation are resolved, whichever is later. The Contractor shall make the Information available to the State at Contractor's place of business or a location acceptable to both Parties during normal business hours. If this is not practical or the Contractor so elects, the Contractor may provide electronic or paper copies of the Information. The State reserves the right to examine, make copies of, and take notes on any Information relevant to this contract, regardless of the form or the Information, how it is stored, or who possesses the Information. Under no circumstance will the Contractor be required to create or maintain documents not kept in the ordinary course of contractor's business operations, nor will contractor be required to disclose any information, including but not limited to product cost data, which is confidential or proprietary to contractor.

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within Solicitation Response (Initial)	NOTES/COMMENTS:
DS TC			

The Parties shall pay their own costs of the audit unless the audit finds a previously undisclosed overpayment by the State. If a previously undisclosed overpayment exceeds one-half of one percent (.5%) of the total contract billings, or if fraud, material misrepresentations, or non-performance is discovered on the part of the Contractor, the Contractor shall reimburse the State for the total costs of the audit. Overpayments and audit costs owed to the State shall be paid within ninety (90) days of written notice of the claim. The Contractor agrees to correct any material weaknesses or condition found as a result of the audit.

APPENDIX F – HIPAA AGREEMENT

Appendix F begins on the next page.

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DHHS HIPAA BUSINESS ASSOCIATE AGREEMENT PROVISIONS SERVICES CONTRACTS

1. BUSINESS ASSOCIATE. "Business Associate" shall generally have the same meaning as the term "business associate" at 45 CFR § 160.103, and in reference to the party in this Contract, shall mean Contractor.

2. COVERED ENTITY. "Covered Entity" shall generally have the same meaning as the term "covered entity" at 45 CFR § 160.103, and in reference to the party to this Contract, shall mean DHHS.

3. HIPAA RULES. "HIPAA Rules" shall mean the Privacy, Security, Breach Notification, and Enforcement Rules at 45 CFR Part 160 and Part 164.

4. OTHER TERMS. The following terms shall have the same meaning as those terms in the HIPAA Rules: Breach, Data Aggregation, Designated Record Set, Disclosure, Health Care Operations, Individual, Minimum Necessary, Notice of Privacy Practices, Protected Health Information, Required by Law, Secretary, Security Incident, Subcontractor, Unsecured Protected Health Information, and Use.

5. THE CONTRACTOR shall do the following:
   - 5.1. Not use or disclose Protected Health Information other than as permitted or required by this Contract or as required by law. Contractor may use Protected Health Information for the purposes of managing its internal business processes relating to its functions and performance under this Contract. Use or disclosure must be consistent with DHHS' minimum necessary policies and procedures.
   - 5.2. Implement and maintain appropriate administrative, physical, and technical safeguards to prevent access to and the unauthorized use and disclosure of Protected Health Information. Comply with Subpart C of 45 CFR Part 164 with respect to electronic Protected Health Information, to prevent use or disclosure of Protected Health Information other than as provided for in this Contract and assess potential risks and vulnerabilities to the individual health data in its care and custody and develop, implement, and maintain reasonable security measures.
   - 5.3. To the extent Contractor is to carry out one or more of the DHHS' obligations under Subpart E of 45 CFR Part 164, comply with the requirements of Subpart E that apply to DHHS in the performance of such obligations. Contractor may not use or disclosure Protected Health Information in a manner that would violate Subpart E of 45 CFR Part 164 if done by DHHS.
   - 5.4. In accordance with 45 CFR §§ 164.502(E)(1)(ii) and 164.308(b)(2), if applicable, ensure that any agents and subcontractors that create, receive, maintain, or transmit Protected Health Information received from DHHS, or created by or received from the Contractor on behalf of DHHS, agree in writing to the same restrictions, conditions, and requirements relating to the confidentiality, care, custody, and minimum use of Protected Health Information that apply to the Contractor with respect to such information.
   - 5.5. Obtain reasonable assurances from the person to whom the information is disclosed that the information will remain confidential and used or further disclosed only as required by law or for the purposes for which it was disclosed to the person, and the person notifies the Contractor of any instances of which it is aware that the confidentiality of the information has been breached.
   - 5.6. Within fifteen (15) days:
     - 5.6.1. Make available Protected Health Information to DHHS as necessary to satisfy DHHS' obligations under 45 CFR § 164.524;
     - 5.6.2. Make any amendment(s) to Protected Health Information as directed or agreed to by DHHS pursuant to 45 CFR § 164.526, or take other measures as necessary to satisfy DHHS' obligations under 45 CFR § 164.526;
     - 5.6.3. Maintain and make available the information required to provide an accounting of disclosures to DHHS as necessary to satisfy DHHS' obligations under 45 CFR § 164.528.

5.7. Make its internal practices, books, and records relating to the use and disclosure of Protected Heath Information received from, or created or received by the Contractor on behalf of the DHHS available to the Secretary for purposes of determining compliance with the HIPAA rules. Contractor shall provide DHHS with copies of the information it has made available to the Secretary.

5.8. Report to DHHS within fifteen (15) days, any unauthorized use or disclosure of Protected Health Information made in violation of this Contract, or the HIPAA rules, including any security incident that may put electronic Protected Health Information at risk. Contractor shall, as instructed by DHHS, take immediate steps to mitigate any harmful effect of such unauthorized disclosure of Protected Health Information pursuant to the conditions of this Contract through the preparation and completion of a written Corrective Action Plan subject to the review and approval by DHHS. The Contractor shall report any breach to the individuals affected and to the Secretary as required by the HIPAA rules.

6. TERMINATION.

6.1. DHHS may immediately terminate this Contract and any and all associated contracts if DHHS determines that the Contractor has violated a material term of this Contract.

6.2. Within thirty (30) days of expiration or termination of this Contract, or as agreed, unless Contractor requests and DHHS authorizes a longer period of time, Contractor shall return or at the written direction of DHHS destroy all Protected Health Information received from DHHS (or created or received by Contractor on behalf of DHHS) that Contractor still maintains in any form and retain no copies of such Protected Health Information. Contractor shall provide a written certification to DHHS that all such Protected Health Information has been returned or destroyed (if so instructed), whichever is deemed appropriate. If such return or destruction is determined by the DHHS be infeasible, Contractor shall use such Protected Health Information only for purposes that makes such return or destruction infeasible and the provisions of this Contract shall survive with respect to such Protected Health Information.

6.3. The obligations of the Contractor under the Termination Section shall survive the termination of this Contract.

Signature: Timothy Conway, EVP & Group President, Public Sector

APPENDIX G – SCHEDULE, TEMPLATES, PLANS, REPORTS

Below is a list of all RFP requested schedules, templates, plans and reports in the order they appear in this appendix.

- IV&V Project Schedule Example
- IV&V Product Review Worksheet Example
- IV&V Weekly Status Report Template
- IV&V Weekly Status Report Example
- Monthly IV&V Report Template
- Monthly IV&V Report Example
- Privacy and Security Plan Example

In addition to the documents listed above, the RFP-requested items listed below are in Excel format and are included as separate attachments.

- Operation and System Readiness Plan Example 1
- Operation and System Readiness Plan Example 2
- Operation and System Readiness Review Reports Example

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IV&V Project Schedule Example

MES IV&V Project

ID	WBS	Task Name	% Complete	Duration	Start	Finish	Predecessors	Successors
0	**0**	**MES IV&V Project**	**81%**	**1179 days**	**Wed 11/15/17**	**Fri 7/15/22**		
712	**6**	**Task Order 005 SFY 21-22**	**12%**	**280 days**	**Wed 6/9/21**	**Fri 7/15/22**		
937	6.6	Task Order 0005 Complete	0%	0 days	Fri 7/15/22	Fri 7/15/22	727,740,753,779,792	
920	**6.5**	**T-9 EDW ODS Module Release Assessment Report (MRAR)**	**0%**	**89 days**	**Mon 10/25/21**	**Wed 3/2/22**		
936	6.5.11	Approve EDW ODS MRAR	0%	0 days	Wed 3/2/22	Wed 3/2/22	935	937
935	6.5.10	Review EDW ODS MRAR	0%	5 days	Thu 2/24/22	Wed 3/2/22	934	936
934	6.5.9	PM/PD review of EDW ODS MRAR and resubmit to State Agency	0%	2 days	Tue 2/22/22	Wed 2/23/22	933	935
933	6.5.8	Update EDW ODS MRAR based on State Agency comments to submit to PM/PD	0%	5 days	Tue 2/15/22	Mon 2/21/22	932	934
932	6.5.7	Review EDW ODS MRAR and provide comments	0%	10 days	Tue 2/1/22	Mon 2/14/22	931	933
931	6.5.6	Submit EDW ODS MRAR	0%	0 days	Mon 1/31/22	Mon 1/31/22	930	932
930	6.5.5	Conduct PM/PD review of the EDW ODS MRAR to State Agency	0%	2 days	Fri 1/28/22	Mon 1/31/22	929	931
929	6.5.4	Conduct a QC review and provide comments on the EDW ODS MRAR	0%	5 days	Fri 1/21/22	Thu 1/27/22	928	930
928	6.5.3	Create the EDW ODS MRAR and submit for QC review	0%	15 days	Thu 12/30/21	Thu 1/20/22	927	929
927	6.5.2	Perform EDW ODS module release assessment	0%	20 days	Wed 12/1/21	Wed 12/29/21	926	928
921	**6.5.1**	**EDW ODS MRAR DED**	**0%**	**25 days**	**Mon 10/25/21**	**Tue 11/30/21**		
926	6.5.1.5	Approve EDW ODS MRAR DED	0%	0 days	Tue 11/30/21	Tue 11/30/21	925	927
925	6.5.1.4	Review EDS ODS MRAR DED and provide comments to IV&V or approve	0%	10 days	Mon 11/15/21	Tue 11/30/21	924	926
924	6.5.1.3	Perform PM/PD review/update EDW ODS MRAR DED and submit to State Agency	0%	2 days	Thu 11/11/21	Fri 11/12/21	923	925
923	6.5.1.2	Perform QC review/update EDW ODS MRAR DED and submit for PM/PD review	0%	3 days	Mon 11/8/21	Wed 11/10/21	922	924
922	6.5.1.1	Create EDW ODS MRAR DED and submit for QC review	0%	10 days	Mon 10/25/21	Fri 11/5/21		923
912	**6.4**	**T-1b UOC Project Management Initial Assessment - TO 005**	**0%**	**34 days**	**Thu 5/26/22**	**Fri 7/15/22**		
919	6.4.7	Approve UOC Project Management Initial Assessment Report	0%	0 days	Fri 7/15/22	Fri 7/15/22	918	937
918	6.4.6	Review UOC Project Management Initial Assessment Report	0%	10 days	Fri 7/1/22	Fri 7/15/22	917	919
917	6.4.5	Perform PM/PD review of UOC Project Management Initial Assessment Report and submit to State Agency	0%	1 day	Thu 6/30/22	Thu 6/30/22	916	918
916	6.4.4	Perform QC Review ofUOC Project Management Initial Assessment Report	0%	3 days	Mon 6/27/22	Wed 6/29/22	915	917
915	6.4.3	Create UOC Project Management Initial Assessment Report and submit to QC	0%	10 days	Mon 6/13/22	Fri 6/24/22	914	916
914	6.4.2	Perform UOC Project Management Initial Assessment	0%	10 days	Fri 5/27/22	Fri 6/10/22	913	915
913	6.4.1	UOC Vendor Project Schedule and PMP Deliverables Approved by State Agency	0%	0 days	Thu 5/26/22	Thu 5/26/22		914
871	**6.3**	**T-1d MES Project Focused Assessments - TO 005**	**7%**	**220 days**	**Tue 8/3/21**	**Tue 6/14/22**		
902	**6.3.4**	**MES Project Focused Assessment 8**	**0%**	**65 days**	**Tue 3/15/22**	**Tue 6/14/22**		
911	6.3.4.9	Approve MES Project Focused Assessment 8 Report	0%	0 days	Tue 6/14/22	Tue 6/14/22	910	937
910	6.3.4.8	Review and Respond to MES Project Focused Assessment 8 Report	0%	10 days	Wed 6/1/22	Tue 6/14/22	909	911
909	6.3.4.7	PM/PD review of MES Project Focused Assessment 8 Report and submit to Agency	0%	1 day	Tue 5/31/22	Tue 5/31/22	908	910
908	6.3.4.6	QC Review MES Project Focused Assessment 8 Report	0%	5 days	Mon 5/23/22	Fri 5/27/22	907	909
907	6.3.4.5	Create MES Project Focused Assessment 8 Report	0%	15 days	Mon 5/2/22	Fri 5/20/22	906	908
906	6.3.4.4	Perform MES Project Focused Assessment 8	0%	20 days	Mon 4/4/22	Fri 4/29/22	905	907
905	6.3.4.3	Submit MES Project Focused Assessment 8 template to State Agency	0%	1 day	Fri 4/1/22	Fri 4/1/22	904	906
904	6.3.4.2	Review MES Project Focused Assessment 8 Template	0%	3 days	Tue 3/29/22	Thu 3/31/22	903	905
903	6.3.4.1	Create MES Project Focused Assessment 8 Template	0%	10 days	Tue 3/15/22	Mon 3/28/22		904
892	**6.3.3**	**MES Project Focused Assessment 7**	**0%**	**66 days**	**Wed 1/12/22**	**Wed 4/13/22**		
901	6.3.3.9	Approve MES Project Focused Assessment 7 Report	0%	0 days	Wed 4/13/22	Wed 4/13/22	900	937
900	6.3.3.8	Review and Respond to MES Project Focused Assessment 7 Report	0%	10 days	Thu 3/31/22	Wed 4/13/22	899	901
899	6.3.3.7	PM/PD review of MES Project Focused Assessment 7 Report and submit to Agency	0%	2 days	Tue 3/29/22	Wed 3/30/22	898	900
898	6.3.3.6	QC Review MES Project Focused Assessment 7 Report	0%	5 days	Tue 3/22/22	Mon 3/28/22	897	899
897	6.3.3.5	Create MES Project Focused Assessment 7 Report	0%	15 days	Tue 3/1/22	Mon 3/21/22	896	898
896	6.3.3.4	Perform MES Project Focused Assessment 7	0%	20 days	Tue 2/1/22	Mon 2/28/22	895	897
895	6.3.3.3	Submit MES Project Focused Assessment 7 template to State Agency	0%	1 day	Mon 1/31/22	Mon 1/31/22	894	896

NOT DATA EXAMPLE

IV&V Project Schedule Example

MES IV&V Project

ID	WBS	Task Name	% Complete	Duration	Start	Finish	Predecessors	Successors
894	6.3.3.2	Review MES Project Focused Assessment 7 Template	0%	3 days	Wed 1/26/22	Fri 1/28/22	893	895
893	6.3.3.1	Create MES Project Focused Assessment 7 Template	0%	10 days	Wed 1/12/22	Tue 1/25/22		894
882	**6.3.2**	**MES Project Focused Assessment 6**	**0%**	**63 days**	**Wed 9/15/21**	**Tue 12/14/21**		
891	6.3.2.9	Approve MES Project Focused Assessment 6 Report	0%	0 days	Tue 12/14/21	Tue 12/14/21	890	937
890	6.3.2.8	Review and Respond to MES Project Focused Assessment 6 Report	0%	10 days	Wed 12/1/21	Tue 12/14/21	889	891
889	6.3.2.7	PM/PD review of MES Project Focused Assessment 6 Report and submit to Agency	0%	1 day	Tue 11/30/21	Tue 11/30/21	888	890
888	6.3.2.6	QC Review MES Project Focused Assessment 6 Report	0%	5 days	Thu 11/18/21	Wed 11/24/21	887	889
887	6.3.2.5	Create MES Project Focused Assessment 6 Report	0%	14 days	Fri 10/29/21	Wed 11/17/21	886	888
886	6.3.2.4	Perform MES Project Focused Assessment 6	0%	18 days	Tue 10/5/21	Thu 10/28/21	885	887
885	6.3.2.3	Submit MES Project Focused Assessment 6 template to State Agency	0%	1 day	Mon 10/4/21	Mon 10/4/21	884	886
884	6.3.2.2	Review MES Project Focused Assessment 6 Template	0%	3 days	Wed 9/29/21	Fri 10/1/21	883	885
883	6.3.2.1	Create MES Project Focused Assessment 6 Template	0%	10 days	Wed 9/15/21	Tue 9/28/21		884
872	**6.3.1**	**MES Project Focused Assessment 5**	**31%**	**52 days**	**Tue 8/3/21**	**Thu 10/14/21**		
881	6.3.1.9	Approve MES Project Focused Assessment 5 Report	0%	0 days	Thu 10/14/21	Thu 10/14/21	880	937
880	6.3.1.8	Review and Respond to MES Project Focused Assessment 5 Report	0%	10 days	Fri 10/1/21	Thu 10/14/21	879	881
879	6.3.1.7	PM/PD review of MES Project Focused Assessment 5 Report and submit to Agency	0%	1 day	Thu 9/30/21	Thu 9/30/21	878	880
878	6.3.1.6	QC Review MES Project Focused Assessment 5 Report	0%	5 days	Thu 9/23/21	Wed 9/29/21	877	879
877	6.3.1.5	Create MES Project Focused Assessment 5 Report	0%	7 days	Tue 9/14/21	Wed 9/22/21	876	878
876	6.3.1.4	Perform MES Project Focused Assessment 5	25%	15 days	Mon 8/23/21	Mon 9/13/21	875	877
875	6.3.1.3	Submit MES Project Focused Assessment 5 template to State Agency	0%	1 day	Fri 8/20/21	Fri 8/20/21	874	876
874	6.3.1.2	Review MES Project Focused Assessment 5 Template	75%	3 days	Tue 8/17/21	Thu 8/19/21	873	875
873	6.3.1.1	Create MES Project Focused Assessment 5 Template	100%	10 days	Tue 8/3/21	Mon 8/16/21		874
714	**6.2**	**T-1 MES Monthly Status Report - TO 005**	**16%**	**272 days**	**Mon 6/21/21**	**Fri 7/15/22**		
858	**6.2.12**	**MES Monthly Status Report 50**	**0%**	**32 days**	**Wed 6/1/22**	**Fri 7/15/22**		
870	6.2.12.12	Approve MES Monthly Status Report 50	0%	0 days	Fri 7/15/22	Fri 7/15/22	869	937
869	6.2.12.11	State Agency Review and Respond to MES Monthly Status Report 50	0%	10 days	Fri 7/1/22	Fri 7/15/22	868	870
868	6.2.12.10	PM/PDReview MES Monthly Status Report 50 and submit to State Agency	0%	1 day	Thu 6/30/22	Thu 6/30/22	867	869
867	6.2.12.9	QC review and update of MES Monthly Status Report 50 and send to PM/PD	0%	2 days	Tue 6/28/22	Wed 6/29/22	861,862,863,864,865	868
866	6.2.12.8	Write CMS Interoperability Lead Summary for MES Monthly Status Report 50	0%	1 day	Mon 6/27/22	Mon 6/27/22	860	867
865	6.2.12.7	Write Core Lead Summary for MES Monthly Status Report 50	0%	1 day	Mon 6/27/22	Mon 6/27/22	860	867
864	6.2.12.6	Write PST Lead Summary for MES Monthly Status Report 50	0%	1 day	Mon 6/27/22	Mon 6/27/22	860	867
863	6.2.12.5	Write UOC Lead Summary for MES Monthly Status Report 50	0%	1 day	Mon 6/27/22	Mon 6/27/22	860	867
862	6.2.12.4	Write EDW Lead Summary for MES Monthly Status Report 50	0%	1 day	Mon 6/27/22	Mon 6/27/22	860	867
861	6.2.12.3	Write ISIP-TO#### Lead Summary for MES Monthly Status Report 50	0%	1 day	Mon 6/27/22	Mon 6/27/22	860	867
860	6.2.12.2	Create MES Monthly Status Report 50	0%	13 days	Wed 6/8/22	Fri 6/24/22	859SS+5 days	861,862,863,864,865,866
859	6.2.12.1	Perform Monthly Project Assessment 50	0%	15 days	Wed 6/1/22	Tue 6/21/22	846	860SS+5 days
845	**6.2.11**	**MES Monthly Status Report 49**	**0%**	**38 days**	**Mon 5/2/22**	**Thu 6/23/22**		
857	6.2.11.12	Approve MES Monthly Status Report 49	0%	0 days	Thu 6/23/22	Thu 6/23/22	856	937
856	6.2.11.11	State Agency Review and Respond to MES Monthly Status Report 49	0%	10 days	Fri 6/10/22	Thu 6/23/22	855	857
855	6.2.11.10	PM/PD Review MES Monthly Status Report 49 and submit to State Agency	0%	1 day	Thu 6/9/22	Thu 6/9/22	854	856
854	6.2.11.9	QC review and update of MES Monthly Status Report 49 and send to PM/PD	0%	2 days	Tue 6/7/22	Wed 6/8/22	848,849,850,851,852	855
853	6.2.11.8	Write CMS Interoperability Lead Summary for MES Monthly Status Report 49	0%	1 day	Mon 6/6/22	Mon 6/6/22	847	854
852	6.2.11.7	Write Core Lead Summary for MES Monthly Status Report 49	0%	1 day	Mon 6/6/22	Mon 6/6/22	847	854
851	6.2.11.6	Write PST Lead Summary for MES Monthly Status Report 49	0%	1 day	Mon 6/6/22	Mon 6/6/22	847	854
850	6.2.11.5	Write UOC Lead Summary for MES Monthly Status Report 49	0%	1 day	Mon 6/6/22	Mon 6/6/22	847	854
849	6.2.11.4	Write EDW Lead Summary for MES Monthly Status Report 49	0%	1 day	Mon 6/6/22	Mon 6/6/22	847	854

IT PROJECT DATA EXAMPLE

IV&V Project Schedule Example

MES IV&V Project

ID	WBS	Task Name	% Complete	Duration	Start	Finish	Predecessors	Successors
848	6.2.11.3	Write ISIP-TO#### Lead Summary for MES Monthly Status Report 49	0%	1 day	Mon 6/6/22	Mon 6/6/22	847	854
847	6.2.11.2	Create MES Monthly Status Report 49	0%	19 days	Mon 5/9/22	Fri 6/3/22	846SS+5 days	848,849,850,851,852,853
846	6.2.11.1	Perform Monthly Project Assessment 49	0%	21 days	Mon 5/2/22	Tue 5/31/22	833	847SS+5 days,859
832	**6.2.10**	**MES Monthly Status Report 48**	**0%**	**38 days**	**Fri 4/1/22**	**Tue 5/24/22**		
844	6.2.10.12	Approve MES Monthly Status Report 48	0%	0 days	Tue 5/24/22	Tue 5/24/22	843	937
843	6.2.10.11	State Agency Review and Respond to MES Monthly Status Report 48	0%	10 days	Wed 5/11/22	Tue 5/24/22	842	844
842	6.2.10.10	PM/PD Review MES Monthly Status Report 48 and submit to State Agency	0%	1 day	Tue 5/10/22	Tue 5/10/22	841	843
841	6.2.10.9	QC review and update of MES Monthly Status Report 48 and send to PM/PD	0%	2 days	Fri 5/6/22	Mon 5/9/22	835,836,837,838,839	842
840	6.2.10.8	Write CMS Interoperability Lead Summary for MES Monthly Status Report 48	0%	1 day	Thu 5/5/22	Thu 5/5/22	834	841
839	6.2.10.7	Write Core Lead Summary for MES Monthly Status Report 48	0%	1 day	Thu 5/5/22	Thu 5/5/22	834	841
838	6.2.10.6	Write PST Lead Summary for MES Monthly Status Report 48	0%	1 day	Thu 5/5/22	Thu 5/5/22	834	841
837	6.2.10.5	Write UOC Lead Summary for MES Monthly Status Report 48	0%	1 day	Thu 5/5/22	Thu 5/5/22	834	841
836	6.2.10.4	Write EDW Lead Summary for MES Monthly Status Report 48	0%	1 day	Thu 5/5/22	Thu 5/5/22	834	841
835	6.2.10.3	Write ISIP-TO#### Lead Summary for MES Monthly Status Report 48	0%	1 day	Thu 5/5/22	Thu 5/5/22	834	841
834	6.2.10.2	Create MES Monthly Status Report 48	0%	19 days	Fri 4/8/22	Wed 5/4/22	833SS+5 days	835,836,837,838,839,840
833	6.2.10.1	Perform Monthly Project Assessment 48	0%	21 days	Fri 4/1/22	Fri 4/29/22	820	834SS+5 days,846
819	**6.2.9**	**MES Monthly Status Report 47**	**0%**	**39 days**	**Wed 3/2/22**	**Mon 4/25/22**		
831	6.2.9.12	Approve MES Monthly Status Report 47	0%	0 days	Mon 4/25/22	Mon 4/25/22	830	937
830	6.2.9.11	State Agency Review and Respond to MES Monthly Status Report 47	0%	10 days	Tue 4/12/22	Mon 4/25/22	829	831
829	6.2.9.10	PM/PD Review MES Monthly Status Report 47 and submit to State Agency	0%	1 day	Mon 4/11/22	Mon 4/11/22	828	830
828	6.2.9.9	QC review and update of MES Monthly Status Report 47 and send to PM/PD	0%	2 days	Thu 4/7/22	Fri 4/8/22	822,823,824,825,826	829
827	6.2.9.8	Write CMS Interoperability Lead Summary for MES Monthly Status Report 47	0%	1 day	Wed 4/6/22	Wed 4/6/22	821	828
826	6.2.9.7	Write Core Lead Summary for MES Monthly Status Report 47	0%	1 day	Wed 4/6/22	Wed 4/6/22	821	828
825	6.2.9.6	Write PST Lead Summary for MES Monthly Status Report 47	0%	1 day	Wed 4/6/22	Wed 4/6/22	821	828
824	6.2.9.5	Write UOC Lead Summary for MES Monthly Status Report 47	0%	1 day	Wed 4/6/22	Wed 4/6/22	821	828
823	6.2.9.4	Write EDW Lead Summary for MES Monthly Status Report 47	0%	1 day	Wed 4/6/22	Wed 4/6/22	821	828
822	6.2.9.3	Write ISIP-TO#### Lead Summary for MES Monthly Status Report 47	0%	1 day	Wed 4/6/22	Wed 4/6/22	821	828
821	6.2.9.2	Create MES Monthly Status Report 47	0%	20 days	Wed 3/9/22	Tue 4/5/22	820SS+5 days	822,823,824,825,826,827
820	6.2.9.1	Perform Monthly Project Assessment 47	0%	22 days	Wed 3/2/22	Thu 3/31/22	807	821SS+5 days,833
806	**6.2.8**	**MES Monthly Status Report 46**	**0%**	**37 days**	**Tue 2/1/22**	**Wed 3/23/22**		
818	6.2.8.12	Approve MES Monthly Status Report 46	0%	0 days	Wed 3/23/22	Wed 3/23/22	817	937
817	6.2.8.11	State Agency Review and Respond to MES Monthly Status Report 46	0%	10 days	Thu 3/10/22	Wed 3/23/22	816	818
816	6.2.8.10	PM/PD Review MES Monthly Status Report 46 and submit to State Agency	0%	1 day	Wed 3/9/22	Wed 3/9/22	815	817
815	6.2.8.9	QC review and update of MES Monthly Status Report 46 and send to PM/PD	0%	2 days	Mon 3/7/22	Tue 3/8/22	809,810,811,812,813	816
814	6.2.8.8	Write CMS Interoperability Lead Summary for MES Monthly Status Report 46	0%	1 day	Fri 3/4/22	Fri 3/4/22	808	815
813	6.2.8.7	Write Core Lead Summary for MES Monthly Status Report 46	0%	1 day	Fri 3/4/22	Fri 3/4/22	808	815
812	6.2.8.6	Write PST Lead Summary for MES Monthly Status Report 46	0%	1 day	Fri 3/4/22	Fri 3/4/22	808	815
811	6.2.8.5	Write UOC Lead Summary for MES Monthly Status Report 46	0%	1 day	Fri 3/4/22	Fri 3/4/22	808	815
810	6.2.8.4	Write EDW Lead Summary for MES Monthly Status Report 46	0%	1 day	Fri 3/4/22	Fri 3/4/22	808	815
809	6.2.8.3	Write ISIP-TO#### Lead Summary for MES Monthly Status Report 46	0%	1 day	Fri 3/4/22	Fri 3/4/22	808	815
808	6.2.8.2	Create MES Monthly Status Report 46	0%	18 days	Tue 2/8/22	Thu 3/3/22	807SS+5 days	809,810,811,812,813,814
807	6.2.8.1	Perform Monthly Project Assessment 46	0%	21 days	Tue 2/1/22	Tue 3/1/22	794	808SS+5 days,820
793	**6.2.7**	**MES Monthly Status Report 45**	**0%**	**38 days**	**Mon 1/3/22**	**Wed 2/23/22**		

NTT DATA EXAMPLE

IV&V Project Schedule Example

MES IV&V Project

ID	WBS	Task Name	% Complete	Duration	Start	Finish	Predecessors	Successors
805	6.2.7.12	Approve MES Monthly Status Report 45	0%	0 days	Wed 2/23/22	Wed 2/23/22	804	937
804	6.2.7.11	State Agency Review and Respond to MES Monthly Status Report 45	0%	10 days	Thu 2/10/22	Wed 2/23/22	803	805
803	6.2.7.10	PM/PD Review MES Monthly Status Report 45 and submit to State Agency	0%	1 day	Wed 2/9/22	Wed 2/9/22	802	804
802	6.2.7.9	QC review and update of MES Monthly Status Report 45 and send to PM/PD	0%	2 days	Mon 2/7/22	Tue 2/8/22	796,797,798,799,800	803
801	6.2.7.8	Write CMS Interoperability Lead Summary for MES Monthly Status Report 45	0%	1 day	Fri 2/4/22	Fri 2/4/22	795	802
800	6.2.7.7	Write Core Lead Summary for MES Monthly Status Report 45	0%	1 day	Fri 2/4/22	Fri 2/4/22	795	802
799	6.2.7.6	Write PST Lead Summary for MES Monthly Status Report 45	0%	1 day	Fri 2/4/22	Fri 2/4/22	795	802
798	6.2.7.5	Write UOC Lead Summary for MES Monthly Status Report 45	0%	1 day	Fri 2/4/22	Fri 2/4/22	795	802
797	6.2.7.4	Write EDW Lead Summary for MES Monthly Status Report 45	0%	1 day	Fri 2/4/22	Fri 2/4/22	795	802
796	6.2.7.3	Write ISIP-TO#### Lead Summary for MES Monthly Status Report 45	0%	1 day	Fri 2/4/22	Fri 2/4/22	795	802
795	6.2.7.2	Create MES Monthly Status Report 45	0%	19 days	Mon 1/10/22	Thu 2/3/22	794SS+5 days	796,797,798,799,800,801
794	6.2.7.1	Perform Monthly Project Assessment 45	0%	21 days	Mon 1/3/22	Mon 1/31/22	781	795SS+5 days,807
780	**6.2.6**	**MES Monthly Status Report 44**	**0%**	**38 days**	**Wed 12/1/21**	**Tue 1/25/22**		
792	6.2.6.12	Approve MES Monthly Status Report 44	0%	0 days	Tue 1/25/22	Tue 1/25/22	791	937
791	6.2.6.11	State Agency Review and Respond to MES Monthly Status Report 44	0%	10 days	Wed 1/12/22	Tue 1/25/22	790	792
790	6.2.6.10	PM/PD Review MES Monthly Status Report 44 and submit to State Agency	0%	1 day	Tue 1/11/22	Tue 1/11/22	789	791
789	6.2.6.9	QC review and update of MES Monthly Status Report 44 and send to PM/PD	0%	2 days	Fri 1/7/22	Mon 1/10/22	783,784,785,786,787	790
788	6.2.6.8	Write CMS Interoperability Lead Summary for MES Monthly Status Report 44	0%	1 day	Thu 1/6/22	Thu 1/6/22	782	789
787	6.2.6.7	Write Core Lead Summary for MES Monthly Status Report 44	0%	1 day	Thu 1/6/22	Thu 1/6/22	782	789
786	6.2.6.6	Write PST Lead Summary for MES Monthly Status Report 44	0%	1 day	Thu 1/6/22	Thu 1/6/22	782	789
785	6.2.6.5	Write UOC Lead Summary for MES Monthly Status Report 44	0%	1 day	Thu 1/6/22	Thu 1/6/22	782	789
784	6.2.6.4	Write EDW Lead Summary for MES Monthly Status Report 44	0%	1 day	Thu 1/6/22	Thu 1/6/22	782	789
783	6.2.6.3	Write ISIP-TO#### Lead Summary for MES Monthly Status Report 44	0%	1 day	Thu 1/6/22	Thu 1/6/22	782	789
782	6.2.6.2	Create MES Monthly Status Report 44	0%	19 days	Wed 12/8/21	Wed 1/5/22	781SS+5 days	783,784,785,786,787,788
781	6.2.6.1	Perform Monthly Project Assessment 44	0%	21 days	Wed 12/1/21	Thu 12/30/21	768	782SS+5 days,794
767	**6.2.5**	**MES Monthly Status Report 43**	**0%**	**37 days**	**Mon 11/1/21**	**Thu 12/23/21**		
779	6.2.5.12	Approve MES Monthly Status Report 43	0%	0 days	Thu 12/23/21	Thu 12/23/21	778	937
778	6.2.5.11	State Agency Review and Respond to MES Monthly Status Report 43	0%	10 days	Fri 12/10/21	Thu 12/23/21	777	779
777	6.2.5.10	PM/PD Review MES Monthly Status Report 43 and submit to State Agency	0%	1 day	Thu 12/9/21	Thu 12/9/21	776	778
776	6.2.5.9	QC review and update of MES Monthly Status Report 43 and send to PM/PD	0%	2 days	Tue 12/7/21	Wed 12/8/21	770,771,772,773,774	777
775	6.2.5.8	Write CMS Interoperability Lead Summary for MES Monthly Status Report 43	0%	1 day	Mon 12/6/21	Mon 12/6/21	769	776
774	6.2.5.7	Write Core Lead Summary for MES Monthly Status Report 43	0%	1 day	Mon 12/6/21	Mon 12/6/21	769	776
773	6.2.5.6	Write PST Lead Summary for MES Monthly Status Report 43	0%	1 day	Mon 12/6/21	Mon 12/6/21	769	776
772	6.2.5.5	Write UOC Lead Summary for MES Monthly Status Report 43	0%	1 day	Mon 12/6/21	Mon 12/6/21	769	776
771	6.2.5.4	Write EDW Lead Summary for MES Monthly Status Report 43	0%	1 day	Mon 12/6/21	Mon 12/6/21	769	776
770	6.2.5.3	Write ISIP-TO#### Lead Summary for MES Monthly Status Report 43	0%	1 day	Mon 12/6/21	Mon 12/6/21	769	776
769	6.2.5.2	Create MES Monthly Status Report 43	0%	18 days	Mon 11/8/21	Fri 12/3/21	768SS+5 days	770,771,772,773,774,775
768	6.2.5.1	Perform Monthly Project Assessment 43	0%	20 days	Mon 11/1/21	Tue 11/30/21	755	769SS+5 days,781
754	**6.2.4**	**MES Monthly Status Report 42**	**0%**	**38 days**	**Fri 10/1/21**	**Tue 11/23/21**		
766	6.2.4.12	Approve MES Monthly Status Report 42	0%	0 days	Tue 11/23/21	Tue 11/23/21	765	
765	6.2.4.11	State Agency Review and Respond to MES Monthly Status Report 42	0%	10 days	Wed 11/10/21	Tue 11/23/21	764	766
764	6.2.4.10	PM/PD Review MES Monthly Status Report 42 and submit to State Agency	0%	1 day	Tue 11/9/21	Tue 11/9/21	763	765

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IV&V Project Schedule Example

MES IV&V Project

ID	WBS	Task Name	% Complete	Duration	Start	Finish	Predecessors	Successors
763	6.2.4.9	QC review and update of MES Monthly Status Report 42 and send to PM/PD	0%	2 days	Fri 11/5/21	Mon 11/8/21	757,758,759,760,761	764
762	6.2.4.8	Write CMS Interoperability Lead Summary for MES Monthly Status Report 42	0%	1 day	Thu 11/4/21	Thu 11/4/21	756	763
761	6.2.4.7	Write Core Lead Summary for MES Monthly Status Report 42	0%	1 day	Thu 11/4/21	Thu 11/4/21	756	763
760	6.2.4.6	Write PST Lead Summary for MES Monthly Status Report 42	0%	1 day	Thu 11/4/21	Thu 11/4/21	756	763
759	6.2.4.5	Write UOC Lead Summary for MES Monthly Status Report 42	0%	1 day	Thu 11/4/21	Thu 11/4/21	756	763
758	6.2.4.4	Write EDW Lead Summary for MES Monthly Status Report 42	0%	1 day	Thu 11/4/21	Thu 11/4/21	756	763
757	6.2.4.3	Write ISIP-TO0001 Lead Summary for MES Monthly Status Report 42	0%	1 day	Thu 11/4/21	Thu 11/4/21	756	763
756	6.2.4.2	Create MES Monthly Status Report 42	0%	19 days	Fri 10/8/21	Wed 11/3/21	755SS+5 days	757,758,759,760,761,762
755	6.2.4.1	Perform Monthly Project Assessment 42	0%	21 days	Fri 10/1/21	Fri 10/29/21	742	756SS+5 days,768
741	**6.2.3**	**MES Monthly Status Report 41**	**0%**	**38 days**	**Wed 9/1/21**	**Mon 10/25/21**		
753	6.2.3.12	Approve MES Monthly Status Report 41	0%	0 days	Mon 10/25/21	Mon 10/25/21	752	937
752	6.2.3.11	State Agency Review and Respond to MES Monthly Status Report 41	0%	10 days	Tue 10/12/21	Mon 10/25/21	751	753
751	6.2.3.10	PM/PD Review MES Monthly Status Report 41 and submit to State Agency	0%	1 day	Mon 10/11/21	Mon 10/11/21	750	752
750	6.2.3.9	QC review and update of MES Monthly Status Report 41 and send to PM/PD	0%	2 days	Thu 10/7/21	Fri 10/8/21	744,745,746,747,748	751
749	6.2.3.8	Write CMS Interoperability Lead Summary for MES Monthly Status Report 41	0%	1 day	Wed 10/6/21	Wed 10/6/21	743	750
748	6.2.3.7	Write Core Lead Summary for MES Monthly Status Report 41	0%	1 day	Wed 10/6/21	Wed 10/6/21	743	750
747	6.2.3.6	Write PST Lead Summary for MES Monthly Status Report 41	0%	1 day	Wed 10/6/21	Wed 10/6/21	743	750
746	6.2.3.5	Write UOC Lead Summary for MES Monthly Status Report 41	0%	1 day	Wed 10/6/21	Wed 10/6/21	743	750
745	6.2.3.4	Write EDW Lead Summary for MES Monthly Status Report 41	0%	1 day	Wed 10/6/21	Wed 10/6/21	743	750
744	6.2.3.3	Write ISIP-TO0001 Lead Summary for MES Monthly Status Report 41	0%	1 day	Wed 10/6/21	Wed 10/6/21	743	750
743	6.2.3.2	Create MES Monthly Status Report 41	0%	19 days	Thu 9/9/21	Tue 10/5/21	742SS+5 days	744,745,746,747,748,749
742	6.2.3.1	Perform Monthly Project Assessment 41	0%	21 days	Wed 9/1/21	Thu 9/30/21	729	743SS+5 days,755
728	**6.2.2**	**MES Monthly Status Report 40**	**61%**	**39 days**	**Mon 8/2/21**	**Fri 9/24/21**		
740	6.2.2.12	Approve MES Monthly Status Report 40	0%	0 days	Fri 9/24/21	Fri 9/24/21	739	937
739	6.2.2.11	State Agency Review and Respond to MES Monthly Status Report 40	0%	10 days	Mon 9/13/21	Fri 9/24/21	738	740
738	6.2.2.10	PM/PD Review MES Monthly Status Report 40 and submit to State Agency	0%	1 day	Fri 9/10/21	Fri 9/10/21	737	739
737	6.2.2.9	QC review and update of MES Monthly Status Report 40 and send to PM/PD	0%	2 days	Wed 9/8/21	Thu 9/9/21	731,732,733,734,735	738
736	6.2.2.8	Write CMS Interoperability Lead Summary for MES Monthly Status Report 40	0%	1 day	Tue 9/7/21	Tue 9/7/21	730	737
735	6.2.2.7	Write Core Lead Summary for MES Monthly Status Report 40	0%	1 day	Tue 9/7/21	Tue 9/7/21	730	737
734	6.2.2.6	Write PST Lead Summary for MES Monthly Status Report 40	0%	1 day	Tue 9/7/21	Tue 9/7/21	730	737
733	6.2.2.5	Write UOC Lead Summary for MES Monthly Status Report 40	0%	1 day	Tue 9/7/21	Tue 9/7/21	730	737
732	6.2.2.4	Write EDW Lead Summary for MES Monthly Status Report 40	0%	1 day	Tue 9/7/21	Tue 9/7/21	730	737
731	6.2.2.3	Write ISIP-TO0001 Lead Summary for MES Monthly Status Report 40	0%	1 day	Tue 9/7/21	Tue 9/7/21	730	737
730	6.2.2.2	Create MES Monthly Status Report 40	75%	20 days	Mon 8/9/21	Fri 9/3/21	729SS+5 days	731,732,733,734,735,736
729	6.2.2.1	Perform Monthly Project Assessment 40	100%	22 days	Mon 8/2/21	Tue 8/31/21	716	730SS+5 days,742
715	**6.2.1**	**MES Monthly Status Report 39**	**100%**	**50 days**	**Mon 6/21/21**	**Mon 8/30/21**		
727	6.2.1.12	Approve MES Monthly Status Report 39	100%	4 days	Tue 8/24/21	Mon 8/30/21	726	937
726	6.2.1.11	State Agency Review and Respond to MES Monthly Status Report 39	100%	10 days	Wed 8/11/21	Tue 8/24/21	725	727
725	6.2.1.10	PM/PD Review MES Monthly Status Report 39 and submit to State Agency	100%	1 day	Tue 8/10/21	Tue 8/10/21	724	726
724	6.2.1.9	QC review and update of MES Monthly Status Report 39 and send to PM/PD	100%	2 days	Fri 8/6/21	Mon 8/9/21	718,719,720,721,722	725
723	6.2.1.8	Write CMS Interoperability Lead Summary for MES Monthly Status Report 39	100%	1 day	Thu 8/5/21	Thu 8/5/21	717	724
722	6.2.1.7	Write Core Lead Summary for MES Monthly Status Report 39	100%	1 day	Thu 8/5/21	Thu 8/5/21	717	724

NOT DATA EXAMPLE

IV&V Project Schedule Example

MES IV&V Project

ID	WBS	Task Name	% Complete	Duration	Start	Finish	Predecessors	Successors
721	6.2.1.6	Write PST Lead Summary for MES Monthly Status Report 39	100%	1 day	Thu 8/5/21	Thu 8/5/21	717	724
720	6.2.1.5	Write UOC Lead Summary for MES Monthly Status Report 39	100%	1 day	Thu 8/5/21	Thu 8/5/21	717	724
719	6.2.1.4	Write EDW Lead Summary for MES Monthly Status Report 39	100%	1 day	Thu 8/5/21	Thu 8/5/21	717	724
718	6.2.1.3	Write ISIP-TO0001 Lead Summary for MES Monthly Status Report 39	100%	1 day	Thu 8/5/21	Thu 8/5/21	717	724
717	6.2.1.2	Create MES Monthly Status Report 39	100%	27 days	Mon 6/28/21	Wed 8/4/21	716SS+5 days	718,719,720,721,722,723
716	6.2.1.1	Perform Monthly Project Assessment 39	100%	29 days	Mon 6/21/21	Fri 7/30/21		717SS+5 days,729
713	6.1	Task Order 005 starts	100%	0 days	Wed 6/9/21	Wed 6/9/21		
510	**5**	**Task Order 004 SFY 20-21**	**100%**	**264 days**	**Wed 7/1/20**	**Thu 7/15/21**		
704	**5.6**	**T-8 ISIP Disaster Recovery Verification Report (DRVR)**	**100%**	**34 days**	**Mon 2/22/21**	**Thu 4/8/21**		
711	5.6.7	DRVR is Approved	100%	10 days	Fri 3/26/21	Thu 4/8/21	710	
710	5.6.6	Submit DRVR to State Agency	100%	0 days	Thu 3/25/21	Thu 3/25/21	709	711
709	5.6.5	Conduct PD review and finalize the DRVR	100%	1 day	Thu 3/25/21	Thu 3/25/21	708	710
708	5.6.4	Update the DRVR based on QC comments and submit for PD review	100%	2 days	Tue 3/23/21	Wed 3/24/21	707	709
707	5.6.3	Conduct a QC review and provide comments on the DRVR	100%	1 day	Mon 3/22/21	Mon 3/22/21	706	708
706	5.6.2	Create the DRVR and submit for QC review	100%	5 days	Mon 3/15/21	Fri 3/19/21	705	707
705	5.6.1	Evaluate the disaster declaration criteria, and procedures to recover information systems and associated services after a disruption.	100%	15 days	Mon 2/22/21	Fri 3/12/21		706
690	**5.5**	**T-7 ISIP Operational Readiness Assessment Report (ORAR)**	**100%**	**38 days**	**Wed 1/20/21**	**Fri 3/12/21**		
703	5.5.13	ORAR review and Approval	100%	10 days	Mon 3/1/21	Fri 3/12/21	702	
702	5.5.12	Submit ORAR to State Agency	100%	0 days	Fri 2/26/21	Fri 2/26/21	701	703
701	5.5.11	Conduct PD review and finalize the ORAR	100%	1 day	Fri 2/26/21	Fri 2/26/21	700	702
700	5.5.10	Update the ORAR based on QC comments and submit for PD review	100%	2 days	Wed 2/24/21	Thu 2/25/21	699	701
699	5.5.9	Conduct a QC review and provide comments on the ORAR	100%	2 days	Mon 2/22/21	Tue 2/23/21	698	700
698	5.5.8	Create the ORAR and submit for QC review	100%	5 days	Mon 2/15/21	Fri 2/19/21	691,692,693,694,695	699
697	5.5.7	Assess ISIP operational readiness for system support functions (help desk)	100%	18 days	Wed 1/20/21	Fri 2/12/21	691SS	698
696	5.5.6	Assess ISIP operational readiness for the implementation of policy changes	100%	18 days	Wed 1/20/21	Fri 2/12/21	691SS	698
695	5.5.5	Assess ISIP operational readiness for Site Readiness	100%	18 days	Wed 1/20/21	Fri 2/12/21	691SS	698
694	5.5.4	Assess the Organization Change Management Plan and processes, and the execution of the Plan	100%	18 days	Wed 1/20/21	Fri 2/12/21	691SS	698
693	5.5.3	Assess ISIP the effectiveness of operational processes	100%	18 days	Wed 1/20/21	Fri 2/12/21	691SS	698
692	5.5.2	Assess ISIP operations training	100%	18 days	Wed 1/20/21	Fri 2/12/21	691SS	698
691	5.5.1	Assess ISIP user training	100%	18 days	Wed 1/20/21	Fri 2/12/21		692SS,693SS,694SS,695SS
683	**5.4**	**T-4 MMIS IV&V Progress Reports - TO 004**	**100%**	**30 days**	**Thu 9/17/20**	**Wed 10/28/20**		
684	**5.4.1**	**Progress Report 7**	**100%**	**30 days**	**Thu 9/17/20**	**Wed 10/28/20**		
689	5.4.1.5	Approval of MMIS IV&V Progress Report 7	100%	0 days	Wed 10/28/20	Wed 10/28/20	688	
688	5.4.1.4	Review MMIS IV&V Progress Report 7	100%	10 days	Thu 10/15/20	Wed 10/28/20	687	689
687	5.4.1.3	Deliver MMIS IV&V Progress Report 7	100%	0 days	Wed 10/14/20	Wed 10/14/20	686	688
686	5.4.1.2	Internal Review MMIS IV&V Progress Report 7	100%	10 days	Thu 10/1/20	Wed 10/14/20	685	687
685	5.4.1.1	Develop MMIS IV&V Progress Report 7	100%	10 days	Thu 9/17/20	Wed 9/30/20		686
654	**5.3**	**T-1d MES Project Focused Assessments - TO 004**	**100%**	**251 days**	**Tue 7/21/20**	**Thu 7/15/21**		
676	**5.3.4**	**MES Project Focused Assessment 4**	**100%**	**48 days**	**Fri 5/7/21**	**Thu 7/15/21**		
669	**5.3.3**	**MES Project Focused Assessment 3**	**100%**	**42 days**	**Thu 4/15/21**	**Mon 6/14/21**		
662	**5.3.2**	**MES Project Focused Assessment 2**	**100%**	**36 days**	**Fri 1/22/21**	**Fri 3/12/21**		
655	**5.3.1**	**MES Project Focused Assessment 1**	**100%**	**38 days**	**Tue 7/21/20**	**Fri 9/11/20**		
661	5.3.1.6	Approve MES Project Focused Assessment 1 Report	100%	0 days	Fri 9/11/20	Fri 9/11/20	660	
660	5.3.1.5	Review and Respond to MES Project Focused Assessment 1 Report	100%	10 days	Fri 8/28/20	Fri 9/11/20	659	661
659	5.3.1.4	Deliver MES Project Focused Assessment 1 Report	100%	0 days	Thu 8/27/20	Thu 8/27/20	658	660
658	5.3.1.3	Internal Review MES Project Focused Assessment 1 Report	100%	6 days	Tue 8/18/20	Tue 8/25/20	657	659
657	5.3.1.2	Create MES Project Focused Assessment 1 Report	100%	8 days	Thu 8/6/20	Mon 8/17/20	656SS+12 days	658
656	5.3.1.1	Perform MES Project Focused Assessment 1	100%	13 days	Tue 7/21/20	Thu 8/6/20		657SS+12 days
645	**5.2**	**T-1b Project Management Initial Assessment - TO004**	**100%**	**26 days**	**Fri 5/7/21**	**Mon 6/14/21**		
646	**5.2.1**	**EDW Project Management Initial Assessment**	**100%**	**26 days**	**Fri 5/7/21**	**Mon 6/14/21**		
653	5.2.1.7	Approve EDW Project Management Initial Assessment Report	100%	0 days	Mon 6/14/21	Mon 6/14/21	652	
652	5.2.1.6	Revise EDW Project Management Initial Assessment Report	100%	10 days	Tue 6/1/21	Mon 6/14/21	651	653
651	5.2.1.5	Perform PM/PD review of EDW Project Management Initial Assessment Report and submit to State Agency	100%	1 day	Fri 5/28/21	Fri 5/28/21	650	652

TEST DATA EXAMPLE

IV&V Project Schedule Example

MES IV&V Project

ID	WBS	Task Name	% Complete	Duration	Start	Finish	Predecessors	Successors
650	5.2.1.4	Perform QC Review ofEDW Project Management Initial Assessment Report	100%	2 days	Wed 5/26/21	Thu 5/27/21	649	651
649	5.2.1.3	Create EDW Project Management Initial Assessment Report and submit to QC	100%	3 days	Fri 5/21/21	Tue 5/25/21	648	650
648	5.2.1.2	Perform EDW Project Management Initial Assessment	100%	10 days	Fri 5/7/21	Thu 5/20/21	647	649
647	5.2.1.1	EDW Vendor Planning Deliverables Approved by State Agency	100%	0 days	Fri 5/7/21	Fri 5/7/21		648
511	**5.1**	**T-1 MES Monthly Status Report - TO 004**	**100%**	**264 days**	**Wed 7/1/20**	**Thu 7/15/21**		
631	**5.1.12**	**MES Monthly Status Report 38**	**100%**	**32 days**	**Tue 6/1/21**	**Thu 7/15/21**		
618	**5.1.11**	**MES Monthly Status Report 37**	**100%**	**37 days**	**Mon 5/3/21**	**Wed 6/23/21**		
604	**5.1.10**	**MES Monthly Status Report 36**	**100%**	**39 days**	**Thu 4/1/21**	**Tue 5/25/21**		
591	**5.1.9**	**MES Monthly Status Report 35**	**100%**	**40 days**	**Mon 3/1/21**	**Fri 4/23/21**		
578	**5.1.8**	**MES Monthly Status Report 34**	**100%**	**37 days**	**Mon 2/1/21**	**Tue 3/23/21**		
566	**5.1.7**	**MES Monthly Status Report 33**	**100%**	**37 days**	**Mon 1/4/21**	**Tue 2/23/21**		
554	**5.1.6**	**MES Monthly Status Report 32**	**100%**	**39 days**	**Tue 12/1/20**	**Tue 1/26/21**		
542	**5.1.5**	**MES Monthly Status Report 31**	**100%**	**36 days**	**Mon 11/2/20**	**Wed 12/23/20**		
534	**5.1.4**	**MES Monthly Status Report 30**	**100%**	**39 days**	**Thu 10/1/20**	**Tue 11/24/20**		
526	**5.1.3**	**MES Monthly Status Report 29**	**100%**	**38 days**	**Tue 9/1/20**	**Fri 10/23/20**		
519	**5.1.2**	**MES Monthly Status Report 28**	**100%**	**38 days**	**Mon 8/3/20**	**Thu 9/24/20**		
512	**5.1.1**	**MES Monthly Status Report 27**	**100%**	**39 days**	**Wed 7/1/20**	**Tue 8/25/20**		
518	5.1.1.6	Approve MES Monthly Status Report 27	100%	0 days	Tue 8/25/20	Tue 8/25/20	517	
517	5.1.1.5	Review and Respond to MES Monthly Status Report 27	100%	10 days	Wed 8/12/20	Tue 8/25/20	516	518
516	5.1.1.4	Deliver MES Monthly Status Report 27	100%	0 days	Tue 8/11/20	Tue 8/11/20	515	517
515	5.1.1.3	Internal Review MES Monthly Status Report 27	100%	5 days	Wed 8/5/20	Tue 8/11/20	514	516
514	5.1.1.2	Create MES Monthly Status Report 27	100%	12 days	Mon 7/20/20	Tue 8/4/20	513SS+12 days	515
513	5.1.1.1	Perform Monthly Project Assessment 27	100%	22 days	Wed 7/1/20	Fri 7/31/20	462	514SS+12 days
389	**4**	**Task Order 003 SFY 19-20**	**100%**	**264 days**	**Mon 7/1/19**	**Thu 7/16/20**		
485	**4.3**	**T-4 MMIS IV&V Progress Reports**	**100%**	**210 days**	**Tue 9/17/19**	**Thu 7/16/20**		
504	**4.3.4**	**Progress Report 6**	**100%**	**31 days**	**Wed 6/3/20**	**Thu 7/16/20**		
498	**4.3.3**	**Progress Report 5**	**100%**	**25 days**	**Wed 3/18/20**	**Tue 4/21/20**		
492	**4.3.2**	**Progress Report 4**	**100%**	**31 days**	**Tue 12/17/19**	**Fri 1/31/20**		
486	**4.3.1**	**Progress Report 3**	**100%**	**30 days**	**Tue 9/17/19**	**Mon 10/28/19**		
491	4.3.1.5	Approval of MMIS IV&V Progress Report 3	100%	0 days	Mon 10/28/19	Mon 10/28/19	490	
490	4.3.1.4	Review MMIS IV&V Progress Report 3	100%	10 days	Tue 10/15/19	Mon 10/28/19	489	491
489	4.3.1.3	Deliver MMIS IV&V Progress Report 3	100%	0 days	Mon 10/14/19	Mon 10/14/19	488	490
488	4.3.1.2	Internal Review MMIS IV&V Progress Report 3	100%	10 days	Tue 10/1/19	Mon 10/14/19	487	489
487	4.3.1.1	Develop MMIS IV&V Progress Report 3	100%	10 days	Tue 9/17/19	Mon 9/30/19		488
475	**4.2**	**T-1b Project Management Initial Assessment**	**100%**	**111 days**	**Mon 12/23/19**	**Fri 5/29/20**		
476	**4.2.1**	**IS/IP Project Management Initial Assessment**	**100%**	**111 days**	**Mon 12/23/19**	**Fri 5/29/20**		
484	4.2.1.8	Approve IS/IP Project Management Initial Assessment Report	100%	0 days	Fri 5/29/20	Fri 5/29/20		
483	4.2.1.7	Review IS/IP Project Management Initial Assessment Report	100%	16 days	Thu 5/7/20	Fri 5/29/20	482	
482	4.2.1.6	Deliver IS/IP Project Management Initial Assessment Report	100%	0 days	Wed 5/6/20	Wed 5/6/20	481,478	483
481	4.2.1.5	Internal Review IS/IP Project Management Initial Assessment Report	100%	3 days	Mon 5/4/20	Wed 5/6/20	480	482
480	4.2.1.4	Create IS/IP Project Management Initial Assessment Report	100%	15 days	Mon 4/13/20	Fri 5/1/20	479	481
479	4.2.1.3	Perform IS/IP Project Management Initial Assessment	100%	77 days	Mon 12/23/19	Fri 4/10/20		480
478	4.2.1.2	IS/IP Project Management Initial Assessment Due	100%	0 days	Wed 5/6/20	Wed 5/6/20	477FS+15 days	482
477	4.2.1.1	IS/IP Vendor Planning Deliverables Approved by State Agency	100%	0 days	Thu 4/16/20	Thu 4/16/20		478FS+15 days
390	**4.1**	**T-1 MES Monthly Status Report**	**100%**	**264 days**	**Mon 7/1/19**	**Thu 7/16/20**		
468	**4.1.12**	**MES Monthly Status Report 26**	**100%**	**33 days**	**Mon 6/1/20**	**Thu 7/16/20**		
474	4.1.12.6	Approve MES Monthly Status Report 26	100%	0 days	Thu 7/16/20	Thu 7/16/20	473	
473	4.1.12.5	Review and Respond to MES Monthly Status Report 26	100%	10 days	Wed 7/1/20	Wed 7/15/20	472	474
472	4.1.12.4	Deliver MES Monthly Status Report 26	100%	0 days	Tue 6/30/20	Tue 6/30/20	471	473
471	4.1.12.3	Internal Review MES Monthly Status Report 26	100%	3 days	Fri 6/26/20	Tue 6/30/20	470	472
470	4.1.12.2	Create MES Monthly Status Report 26	100%	10 days	Fri 6/12/20	Thu 6/25/20	469SS+9 days	471
469	4.1.12.1	Perform Monthly Project Assessment 26	100%	22 days	Mon 6/1/20	Tue 6/30/20	462	470SS+9 days
461	**4.1.11**	**MES Monthly Status Report 25**	**100%**	**31 days**	**Fri 5/1/20**	**Mon 6/15/20**		
454	**4.1.10**	**MES Monthly Status Report 24**	**100%**	**42 days**	**Wed 4/1/20**	**Fri 5/29/20**		
447	**4.1.9**	**MES Monthly Status Report 23**	**100%**	**35 days**	**Mon 3/2/20**	**Fri 4/17/20**		
440	**4.1.8**	**MES Monthly Status Report 22**	**100%**	**35 days**	**Mon 2/3/20**	**Fri 3/20/20**		

TEST DATA EXAMPLE

IV&V Project Schedule Example

MES IV&V Project

ID	WBS	Task Name	% Complete	Duration	Start	Finish	Predecessors	Successors
433	**4.1.7**	**MES Monthly Status Report 21**	**100%**	**34 days**	**Thu 1/2/20**	**Wed 2/19/20**		
426	**4.1.6**	**MES Monthly Status Report 20**	**100%**	**33 days**	**Mon 12/2/19**	**Fri 1/17/20**		
419	**4.1.5**	**MES Monthly Status Report 19**	**100%**	**32 days**	**Fri 11/1/19**	**Thu 12/19/19**		
412	**4.1.4**	**MES Monthly Status Report 18**	**100%**	**32 days**	**Tue 10/1/19**	**Thu 11/14/19**		
405	**4.1.3**	**MES Monthly Status Report 17**	**100%**	**35 days**	**Tue 9/3/19**	**Mon 10/21/19**		
398	**4.1.2**	**MES Monthly Status Report 16**	**100%**	**36 days**	**Thu 8/1/19**	**Fri 9/20/19**		
391	**4.1.1**	**MES Monthly Status Report 15**	**100%**	**37 days**	**Mon 7/1/19**	**Wed 8/21/19**		
245	**3**	**Task Order 001 and 002 SFY 18-19**	**100%**	**392 days**	**Mon 3/26/18**	**Thu 10/10/19**		
378	**3.8**	**TO1-C Report on EDW Project Initiation Consult**	**100%**	**28 days**	**Mon 6/11/18**	**Thu 7/19/18**		
388	3.8.10	Approval of Report on EDW Project Initiation Consult	100%	0 days	Thu 7/19/18	Thu 7/19/18		
387	3.8.9	Review Report on EDW Project Initiation Consult	100%	14 days	Fri 6/29/18	Thu 7/19/18	386	
386	3.8.8	Deliver Report on EDW Project Initiation Consult	100%	0 days	Thu 6/28/18	Thu 6/28/18	385	387
385	3.8.7	Internal Review Report on EDW Project Initiation Consult	100%	3 days	Tue 6/26/18	Thu 6/28/18	384	386
384	3.8.6	Assess EDW Project Initiation Consult	100%	10 days	Tue 6/12/18	Mon 6/25/18	382,383,9	385
383	3.8.5	State Agency and SEAS Condcuts EDW Project Initiation Consult	100%	1 day	Mon 6/11/18	Mon 6/11/18		384
382	3.8.4	Review and Approve DED Report on EDW Project Initiation Consult	100%	1 day	Wed 6/13/18	Wed 6/13/18		384
381	3.8.3	Deliver DED Report on EDW Project Initiation Consult	100%	0 days	Wed 6/13/18	Wed 6/13/18	380	
380	3.8.2	Internal Review DED Report on EDW Project Initiation Consult	100%	1 day	Wed 6/13/18	Wed 6/13/18	379	381
379	3.8.1	Develop DED Report on EDW Project Initiation Consult	100%	2 days	Mon 6/11/18	Tue 6/12/18	251	380,224
367	**3.7**	**TO1-B Assessment Report of MES EDW PPU**	**100%**	**7 days**	**Thu 6/14/18**	**Fri 6/22/18**		
377	3.7.10	Approval of Assessment Report of MES EDW PPU	100%	0 days	Fri 6/22/18	Fri 6/22/18		
376	3.7.9	Review Assessment Report of MES EDW PPU	100%	2 days	Thu 6/21/18	Fri 6/22/18	375	
375	3.7.8	Deliver Assessment Report of MES EDW PPU	100%	0 days	Wed 6/20/18	Wed 6/20/18	374	376
374	3.7.7	Internal Review Assessment Report of MES EDW PPU	100%	1 day	Wed 6/20/18	Wed 6/20/18	373	375
373	3.7.6	Assess MES EDW PPU	100%	2 days	Mon 6/18/18	Tue 6/19/18	371,372,9	374
372	3.7.5	SEAS Vendor Delivers MES EDW PPU	100%	1 day	Fri 6/15/18	Fri 6/15/18		373
371	3.7.4	Review and Approve DED Assessment Report of MES EDW PPU	100%	1 day	Thu 6/14/18	Thu 6/14/18		373
370	3.7.3	Deliver DED Assessment Report of MES EDW PPU	100%	0 days	Thu 6/14/18	Thu 6/14/18	369	
369	3.7.2	Internal Review DED Assessment Report of MES EDW PPU	100%	1 day	Thu 6/14/18	Thu 6/14/18		370
368	3.7.1	Develop DED Assessment Report of MES EDW PPU	100%	2 days	Thu 6/14/18	Fri 6/15/18	251	224
356	**3.6**	**TO1-A Assessment Report of EDW Procurement Management Plan**	**100%**	**8 days**	**Tue 5/29/18**	**Thu 6/7/18**		
366	3.6.10	Approval of Assessment Report of EDW Procurement Management Plan	100%	0 days	Thu 6/7/18	Thu 6/7/18		
365	3.6.9	Review Assessment Report of EDW Procurement Management Plan	100%	2 days	Wed 6/6/18	Thu 6/7/18	364	
364	3.6.8	Deliver Assessment Report of EDW Procurement Management Plan	100%	0 days	Tue 6/5/18	Tue 6/5/18	363	365
363	3.6.7	Internal Review Assessment Report of EDW Procurement Management Plan	100%	1 day	Tue 6/5/18	Tue 6/5/18	362	364
362	3.6.6	Assess EDW Procurement Management Plan	100%	4 days	Wed 5/30/18	Mon 6/4/18	361	363
361	3.6.5	SEAS Vendor Delivers EDW Procurement Management Plan	100%	1 day	Tue 5/29/18	Tue 5/29/18		362
360	3.6.4	Review and Approve DED Assessment Report of EDW Procurement Management Plan	100%	1 day	Fri 6/1/18	Fri 6/1/18		
359	3.6.3	Deliver DED Assessment Report of EDW Procurement Management Plan	100%	1 day	Fri 6/1/18	Fri 6/1/18	358	
358	3.6.2	Internal Review DED Assessment Report of EDW Procurement Management Plan	100%	1 day	Fri 6/1/18	Fri 6/1/18	357	359
357	3.6.1	Develop DED Assessment Report of EDW Procurement Management Plan	100%	1 day	Fri 6/1/18	Fri 6/1/18		358,224
352	**3.5**	**T-5 FMMIS Milestone Reviews**	**100%**	**87 days**	**Mon 6/10/19**	**Thu 10/10/19**		
355	3.5.3	Milestone Review R1 Complete	100%	0 days	Thu 10/10/19	Thu 10/10/19	353,354	
354	3.5.2	CMS Assessment of R1	100%	76 days	Tue 6/25/19	Thu 10/10/19	343,353	355
353	3.5.1	EDW Milestone Review R1	100%	11 days	Mon 6/10/19	Mon 6/24/19	343FS+27 days	355,354
339	**3.4**	**T-4 MMIS IV&V Progress Reports**	**100%**	**96 days**	**Mon 3/11/19**	**Wed 7/24/19**		
346	**3.4.2**	**Progress Report 2**	**100%**	**42 days**	**Fri 5/24/19**	**Wed 7/24/19**		
340	**3.4.1**	**Progress Report 1**	**100%**	**52 days**	**Mon 3/11/19**	**Tue 5/21/19**		
345	3.4.1.5	Approval of MMIS IV&V Progress Report 1	100%	0 days	Tue 5/21/19	Tue 5/21/19		
344	3.4.1.4	Review MMIS IV&V Progress Report 1	100%	15 days	Wed 5/1/19	Tue 5/21/19	343	
343	3.4.1.3	Deliver MMIS IV&V Progress Report 1	100%	0 days	Tue 4/30/19	Tue 4/30/19	342	344,353FS+27 days,354
342	3.4.1.2	Internal Review MMIS IV&V Progress Report 1	100%	11 days	Tue 4/16/19	Tue 4/30/19	341	343
341	3.4.1.1	Develop MMIS IV&V Progress Report 1	100%	26 days	Mon 3/11/19	Mon 4/15/19		342

NTT DATA EXAMPLE

IV&V Project Schedule Example

MES IV&V Project

ID	WBS	Task Name	% Complete	Duration	Start	Finish	Predecessors	Successors
330	**3.3**	**T-3 Medicaid Enterprise Certification Checklists**	**100%**	**111 days**	**Thu 12/13/18**	**Tue 5/21/19**		
331	**3.3.1**	**R1 Medicaid Enterprise Certification Checklists**	**100%**	**111 days**	**Thu 12/13/18**	**Tue 5/21/19**		
338	3.3.1.7	Review and Approve R1 Medicaid Enterprise Certification Checklists	100%	15 days	Wed 5/1/19	Tue 5/21/19	337	
337	3.3.1.6	Deliver R1 Medicaid Enterprise Certification Checklists	100%	0 days	Tue 4/30/19	Tue 4/30/19	336	338
336	3.3.1.5	Internal Review R1 Medicaid Enterprise Certification Checklists	100%	7 days	Mon 4/22/19	Tue 4/30/19	335	337
335	3.3.1.4	Finalize Comments R1 Medicaid Enterprise Certification Checklists	100%	10 days	Mon 4/8/19	Fri 4/19/19	334	336
334	3.3.1.3	Review R1 Medicaid Enterprise Certification Checklists	100%	3 days	Wed 4/3/19	Fri 4/5/19	333FS+1 day	335
333	3.3.1.2	State Agency Delivers R1 Final Checklists	100%	0 days	Tue 4/2/19	Tue 4/2/19		334FS+1 day
332	3.3.1.1	Review Iteration 2 Certification Checklists	100%	5 days	Thu 12/13/18	Wed 12/19/18		
254	**3.2**	**T-1 MES Monthly Project Status Report**	**100%**	**299 days**	**Tue 5/8/18**	**Mon 7/15/19**		
315	**3.2.5**	**Review and Approve MES Monthly Project Status Report**	**100%**	**277 days**	**Fri 6/8/18**	**Mon 7/15/19**		
329	3.2.5.14	Review and Approve MES Monthly Project Status Report 14	100%	10 days	Mon 7/1/19	Mon 7/15/19		
328	3.2.5.13	Review and Approve MES Monthly Project Status Report 13	100%	10 days	Fri 6/7/19	Thu 6/20/19		
327	3.2.5.12	Review and Approve MES Monthly Project Status Report 12	100%	10 days	Tue 5/7/19	Mon 5/20/19		
326	3.2.5.11	Review and Approve MES Monthly Project Status Report 11	100%	6 days	Mon 4/8/19	Mon 4/15/19		
325	3.2.5.10	Review and Approve MES Monthly Project Status Report 10	100%	10 days	Mon 3/18/19	Fri 3/29/19		
324	3.2.5.9	Review and Approve MES Monthly Project Status Report 9	100%	10 days	Thu 2/7/19	Wed 2/20/19		
323	3.2.5.8	Review and Approve MES Monthly Project Status Report 8	100%	10 days	Mon 1/7/19	Fri 1/18/19		
322	3.2.5.7	Review and Approve MES Monthly Project Status Report 7	100%	10 days	Fri 12/7/18	Thu 12/20/18		
321	3.2.5.6	Review and Approve MES Monthly Project Status Report 6	100%	10 days	Wed 11/7/18	Wed 11/21/18		
320	3.2.5.5	Review and Approve MES Monthly Project Status Report 5	100%	12 days	Mon 10/8/18	Tue 10/23/18		
319	3.2.5.4	Review and Approve MES Monthly Project Status Report 4	100%	16 days	Fri 9/7/18	Fri 9/28/18		
318	3.2.5.3	Review and Approve MES Monthly Project Status Report 3	100%	9 days	Tue 8/7/18	Fri 8/17/18		
317	3.2.5.2	Review and Approve MES Monthly Project Status Report 2	100%	10 days	Mon 7/2/18	Mon 7/16/18	302	
316	3.2.5.1	Review and Approve MES Monthly Project Status Report 1	100%	12 days	Fri 6/8/18	Mon 6/25/18	301	
300	**3.2.4**	**Deliver MES Monthly Project Status Report**	**100%**	**268 days**	**Thu 6/7/18**	**Fri 6/28/19**		
314	3.2.4.14	Deliver MES Monthly Project Status Report 14	100%	1 day	Fri 6/28/19	Fri 6/28/19		
313	3.2.4.13	Deliver MES Monthly Project Status Report 13	100%	0 days	Fri 6/7/19	Fri 6/7/19		
312	3.2.4.12	Deliver MES Monthly Project Status Report 12	100%	0 days	Tue 5/7/19	Tue 5/7/19		
311	3.2.4.11	Deliver MES Monthly Project Status Report 11	100%	0 days	Fri 4/5/19	Fri 4/5/19		
310	3.2.4.10	Deliver MES Monthly Project Status Report 10	100%	0 days	Thu 3/7/19	Thu 3/7/19		
309	3.2.4.9	Deliver MES Monthly Project Status Report 9	100%	0 days	Thu 2/7/19	Thu 2/7/19		
308	3.2.4.8	Deliver MES Monthly Project Status Report 8	100%	0 days	Mon 1/7/19	Mon 1/7/19		
307	3.2.4.7	Deliver MES Monthly Project Status Report 7	100%	0 days	Fri 12/7/18	Fri 12/7/18		
306	3.2.4.6	Deliver MES Monthly Project Status Report 6	100%	0 days	Wed 11/7/18	Wed 11/7/18		
305	3.2.4.5	Deliver MES Monthly Project Status Report 5	100%	0 days	Fri 10/5/18	Fri 10/5/18		
304	3.2.4.4	Deliver MES Monthly Project Status Report 4	100%	0 days	Fri 9/7/18	Fri 9/7/18		
303	3.2.4.3	Deliver MES Monthly Project Status Report 3	100%	0 days	Tue 8/7/18	Tue 8/7/18		
302	3.2.4.2	Deliver MES Monthly Project Status Report 2	100%	0 days	Fri 6/29/18	Fri 6/29/18		317
301	3.2.4.1	Deliver MES Monthly Project Status Report 1	100%	1 day	Thu 6/7/18	Thu 6/7/18		316
285	**3.2.3**	**Internal Review MES Monthly Project Status Report**	**100%**	**270 days**	**Mon 6/4/18**	**Thu 6/27/19**		
270	**3.2.2**	**Create MES Monthly Project Status Report**	**100%**	**275 days**	**Fri 5/25/18**	**Thu 6/27/19**		
255	**3.2.1**	**Perform Monthly Project Assessment**	**100%**	**286 days**	**Tue 5/8/18**	**Tue 6/25/19**		
246	**3.1**	**Establish Task Order 001**	**100%**	**70 days**	**Mon 3/26/18**	**Mon 7/2/18**		
253	3.1.7	EDW MECL Initiation Phase Start	100%	0 days	Mon 7/2/18	Mon 7/2/18	252,251	
252	3.1.6	EDW MECL Initiation Phase 15 Days hold for TO	100%	1 day	Tue 5/8/18	Tue 5/8/18	248	253
251	3.1.5	Task Order 001 Approved	100%	0 days	Mon 7/2/18	Mon 7/2/18	250	253,368,379
250	3.1.4	Approve TO 001	100%	21 days	Mon 6/4/18	Mon 7/2/18	248,249	251
249	3.1.3	TO Review Cycle	100%	18 days	Tue 5/8/18	Fri 6/1/18	248	250
248	3.1.2	Submit TO 001 for review	100%	1 day	Mon 5/7/18	Mon 5/7/18	247	250,252,249,256
247	3.1.1	Create TO 001	100%	30 days	Mon 3/26/18	Fri 5/4/18		248
4	**2**	**Initial Deliverables**	**99%**	**626 days**	**Thu 11/30/17**	**Fri 5/22/20**		
234	**2.24**	**I-18 Assessment Report of MES Technical Architecture Documentation**	**100%**	**19 days**	**Wed 6/20/18**	**Tue 7/17/18**		
244	2.24.10	Approval of Assessment Report of MES Technical Architecture Documentation	100%	0 days	Tue 7/17/18	Tue 7/17/18		
243	2.24.9	Review Assessment Report of MES Technical Architecture Documentation	100%	0 days	Tue 7/17/18	Tue 7/17/18	242	

NO DATA EXAMPLE

ID	WBS	Task Name	% Complete	Duration	Start	Finish	Predecessors	Successors
242	2.24.8	Deliver Assessment Report of MES Technical Architecture Documentation	100%	0 days	Tue 7/17/18	Tue 7/17/18	241	243
241	2.24.7	Internal Review Assessment of MES Technical Architecture Documentation	100%	1 day	Tue 7/17/18	Tue 7/17/18	240,238	242
240	2.24.6	Assess MES Technical Architecture Documentation	100%	9 days	Tue 7/3/18	Mon 7/16/18	239,9	241
239	2.24.5	SEAS Vendor Delivers MES Technical Architecture Documentation	100%	1 day	Mon 7/2/18	Mon 7/2/18		240
238	2.24.4	Review and Approve DED Assessment Report of MES Technical Architecture Documentation	100%	8 days	Fri 6/29/18	Wed 7/11/18	237	241
237	2.24.3	Deliver DED Assessment Report of MES Technical Architecture Documentation	100%	0 days	Fri 6/29/18	Fri 6/29/18	236	238
236	2.24.2	Internal Review DED Assessment Report of MES Technical Architecture Documentation	100%	2 days	Fri 6/22/18	Mon 6/25/18	235	237
235	2.24.1	Develop DED Assessment Report of MES Technical Architecture Documentation	100%	2 days	Wed 6/20/18	Thu 6/21/18	213FS+10 days	236,224FS+6 days
223	**2.23**	**I-17 Assessment Report of Enterprise Data Security Plan**	**100%**	**35 days**	**Thu 6/28/18**	**Thu 8/16/18**		
233	2.23.10	Approval of Assessment Report of Enterprise Data Security Plan	100%	0 days	Thu 8/16/18	Thu 8/16/18		
232	2.23.9	Review Assessment Report of Enterprise Data Security Plan	100%	2 days	Wed 8/15/18	Thu 8/16/18	231	
231	2.23.8	Deliver Assessment Report of Enterprise Data Security Plan	100%	0 days	Tue 8/14/18	Tue 8/14/18	230	232
230	2.23.7	Internal Review Assessment of Enterprise Data Security Plan	100%	6 days	Tue 8/7/18	Tue 8/14/18	229	231
229	2.23.6	Assess Enterprise Data Security Plan	100%	9 days	Wed 7/25/18	Mon 8/6/18	228,227	230
228	2.23.5	SEAS Vendor Delivers Enterprise Data Security Plan	100%	1 day	Tue 7/24/18	Tue 7/24/18		229
227	2.23.4	Review and Approve DED Assessment Report of Enterprise Data Security Plan	100%	7 days	Mon 7/2/18	Wed 7/11/18	226	229
226	2.23.3	Deliver DED Assessment Report of Enterprise Data Security Plan	100%	1 day	Fri 6/29/18	Fri 6/29/18	225	227
225	2.23.2	Internal Review DED Assessment Report of Enterprise Data Security Plan	100%	1 day	Fri 6/29/18	Fri 6/29/18	224	226
224	2.23.1	Develop DED Assessment Report of Enterprise Data Security Plan	100%	2 days	Thu 6/28/18	Fri 6/29/18	235FS+6 days,357,36	225
212	**2.22**	**I-16 Assessment Report of Design and Implementation Management Standards**	**100%**	**22 days**	**Wed 5/16/18**	**Fri 6/15/18**		
222	2.22.10	Approval of Assessment Report of Design and Implementation Management Standards	100%	0 days	Fri 6/15/18	Fri 6/15/18		
221	2.22.9	Review Assessment Report of Design and Implementation Management Standards	100%	2 days	Thu 6/14/18	Fri 6/15/18	220	
220	2.22.8	Deliver Assessment Report of Design and Implementation Management Standards	100%	0 days	Wed 6/13/18	Wed 6/13/18	219	221
219	2.22.7	Internal Review Assessment of Design and Implementation Management Standards	100%	1 day	Wed 6/13/18	Wed 6/13/18	218	220
218	2.22.6	Assess Design and Implementation Management Standards	100%	10 days	Wed 5/30/18	Tue 6/12/18	217,216	219
217	2.22.5	SEAS Vendor Delivers Design and Implementation Management Standards	100%	1 day	Tue 5/29/18	Tue 5/29/18		218
216	2.22.4	Review and Approve DED Assessment Report of Design and Implementation Management Standards	100%	5 days	Tue 5/22/18	Tue 5/29/18	215	218
215	2.22.3	Deliver DED Assessment Report of Design and Implementation Management Standards	100%	0 days	Mon 5/21/18	Mon 5/21/18	214	216
214	2.22.2	Internal Review DED Assessment Report of Design and Implementation Management Standards	100%	1 day	Mon 5/21/18	Mon 5/21/18	213	215
213	2.22.1	Develop DED Assessment Report of Design and Implementation Management Standards	100%	3 days	Wed 5/16/18	Fri 5/18/18	202FS+3 days	214,235FS+10 days
201	**2.21**	**I-15 Assessment Report of Information Architecture Documentation**	**100%**	**22 days**	**Tue 5/8/18**	**Thu 6/7/18**		
211	2.21.10	Approval of Assessment Report of Information Architecture Documentation	100%	0 days	Thu 6/7/18	Thu 6/7/18		
210	2.21.9	Review Assessment Report of Information Architecture Documentation	100%	7 days	Wed 5/30/18	Thu 6/7/18	209	
209	2.21.8	Deliver Assessment Report of Information Architecture Documentation	100%	0 days	Tue 5/29/18	Tue 5/29/18	208	210
208	2.21.7	Internal Review Assessment of Information Architecture Documentation	100%	1 day	Tue 5/29/18	Tue 5/29/18	207	209
207	2.21.6	Assess Information Architecture Documentation	100%	8 days	Wed 5/16/18	Fri 5/25/18	206,205	208
206	2.21.5	SEAS Vendor Delivers Information Architecture Documentation	100%	1 day	Tue 5/15/18	Tue 5/15/18		207

NTT DATA EXAMPLE

IV&V Project Schedule Example

MES IV&V Project

ID	WBS	Task Name	% Complete	Duration	Start	Finish	Predecessors	Successors
205	2.21.4	Review and Approve DED Assessment Report of Information Architecture Documentation	100%	2 days	Mon 5/14/18	Tue 5/15/18	204	207
204	2.21.3	Deliver DED Assessment Report of Information Architecture Documentation	100%	0 days	Fri 5/11/18	Fri 5/11/18	203	205
203	2.21.2	Internal Review DED Assessment Report of Information Architecture Documentation	100%	1 day	Fri 5/11/18	Fri 5/11/18	202	204
202	2.21.1	Develop DED Assessment Report of Information Architecture Documentation	100%	3 days	Tue 5/8/18	Thu 5/10/18	92	203,213FS+3 days
190	**2.20**	**I-14 Assessment Report of Technology Standards**	**100%**	**26 days**	**Mon 2/19/18**	**Mon 3/26/18**		
200	2.20.10	Approval of Assessment Report of Technology Standards	100%	0 days	Mon 3/26/18	Mon 3/26/18		
199	2.20.9	Review Assessment Report of Technology Standards	100%	5 days	Tue 3/20/18	Mon 3/26/18	198	
198	2.20.8	Deliver Assessment Report of Technology Standards	100%	0 days	Mon 3/19/18	Mon 3/19/18	197	199
197	2.20.7	Internal Review Assessment of Technology Standards	100%	2 days	Fri 3/16/18	Mon 3/19/18	196	198
196	2.20.6	Assess Technology Standards	100%	8 days	Tue 3/6/18	Thu 3/15/18	195,194	197
195	2.20.5	SEAS Vendor Delivers Technology Standards	100%	1 day	Fri 3/2/18	Fri 3/2/18		196
194	2.20.4	Review and Approve DED Assessment Report of Technology Standards	100%	6 days	Mon 2/26/18	Mon 3/5/18	193	196
193	2.20.3	Deliver DED Assessment Report of Technology Standards	100%	0 days	Fri 2/23/18	Fri 2/23/18	192	194
192	2.20.2	Internal Review DED Assessment Report of Technology Standards	100%	2 days	Thu 2/22/18	Fri 2/23/18	191	193
191	2.20.1	Develop DED Assessment Report of Technology Standards	100%	3 days	Mon 2/19/18	Wed 2/21/18	114	192,67
179	**2.19**	**I-13 Assessment Report of Data Standards**	**100%**	**23 days**	**Wed 4/18/18**	**Fri 5/18/18**		
189	2.19.10	Approval of Assessment Report of Data Standards	100%	0 days	Fri 5/18/18	Fri 5/18/18		
188	2.19.9	Review Assessment Report of Data Standards	100%	3 days	Wed 5/16/18	Fri 5/18/18	187	
187	2.19.8	Deliver Assessment Report of Data Standards	100%	0 days	Tue 5/15/18	Tue 5/15/18	186	188
186	2.19.7	Internal Review Assessment of Data Standards	100%	1 day	Tue 5/15/18	Tue 5/15/18	185	187
185	2.19.6	Assess Data Standards	100%	8 days	Thu 5/3/18	Mon 5/14/18	184,183	186
184	2.19.5	SEAS Vendor Delivers Data Standards	100%	3 days	Mon 4/30/18	Wed 5/2/18		185
183	2.19.4	Review and Approve DED Assessment Report of Data Standards	100%	2 days	Fri 4/20/18	Mon 4/23/18	182	185
182	2.19.3	Deliver DED Assessment Report of Data Standards	100%	0 days	Thu 4/19/18	Thu 4/19/18	181	183
181	2.19.2	Internal Review DED Assessment Report of Data Standards	100%	1 day	Thu 4/19/18	Thu 4/19/18	180	182
180	2.19.1	Develop DED Assessment Report of Data Standards	100%	1 day	Wed 4/18/18	Wed 4/18/18	169	181,92
168	**2.18**	**I-12 Assessment Report of Technical Management Strategy**	**100%**	**20 days**	**Mon 4/9/18**	**Fri 5/4/18**		
178	2.18.10	Approval of Assessment Report of Technical Management Strategy	100%	0 days	Fri 5/4/18	Fri 5/4/18		
177	2.18.9	Review Assessment Report of Technical Management Strategy	100%	3 days	Wed 5/2/18	Fri 5/4/18	176	
176	2.18.8	Deliver Assessment Report of Technical Management Strategy	100%	0 days	Tue 5/1/18	Tue 5/1/18	175	177
175	2.18.7	Internal Review Assessment of Technical Management Strategy	100%	1 day	Tue 5/1/18	Tue 5/1/18	174	176
174	2.18.6	Assess Technical Management Strategy	100%	10 days	Tue 4/17/18	Mon 4/30/18	173,172	175
173	2.18.5	SEAS Vendor Delivers Technical Management Strategy	100%	1 day	Mon 4/16/18	Mon 4/16/18		174
172	2.18.4	Review and Approve DED Assessment Report of Technical Management Strategy	100%	1 day	Wed 4/11/18	Wed 4/11/18	171	174
171	2.18.3	Deliver DED Assessment Report of Technical Management Strategy	100%	0 days	Tue 4/10/18	Tue 4/10/18	170	172
170	2.18.2	Internal Review DED Assessment Report of Technical Management Strategy	100%	1 day	Tue 4/10/18	Tue 4/10/18	169	171
169	2.18.1	Develop DED Assessment Report of Technical Management Strategy	100%	1 day	Mon 4/9/18	Mon 4/9/18	158	170,180
157	**2.17**	**I-11 Assessment Report of MES Data Management Strategy**	**100%**	**21 days**	**Mon 4/2/18**	**Mon 4/30/18**		
167	2.17.10	Approval of Assessment Report of MES Data Management Strategy	100%	0 days	Mon 4/30/18	Mon 4/30/18		
166	2.17.9	Review Assessment Report of MES Data Management Strategy	100%	5 days	Tue 4/24/18	Mon 4/30/18	165	
165	2.17.8	Deliver Assessment Report of MES Data Management Strategy	100%	0 days	Mon 4/23/18	Mon 4/23/18	164	166
164	2.17.7	Internal Review Assessment of MES Data Management Strategy	100%	1 day	Mon 4/23/18	Mon 4/23/18	163	165
163	2.17.6	Assess MES Data Management Strategy	100%	9 days	Tue 4/10/18	Fri 4/20/18	162,161	164
162	2.17.5	SEAS Vendor Delivers MES Data Management Strategy	100%	1 day	Mon 4/9/18	Mon 4/9/18		163
161	2.17.4	Review and Approve DED Assessment Report of MES Data Management Strategy	100%	2 days	Wed 4/4/18	Thu 4/5/18	160	163
160	2.17.3	Deliver DED Assessment Report of MES Data Management Strategy	100%	0 days	Tue 4/3/18	Tue 4/3/18	159	161
159	2.17.2	Internal Review DED Assessment Report of MES Data Management Strategy	100%	1 day	Tue 4/3/18	Tue 4/3/18	158	160
158	2.17.1	Develop DED Assessment Report of MES Data Management Strategy	100%	1 day	Mon 4/2/18	Mon 4/2/18		159,169
146	**2.16**	**I-10 Assessment Report of Medicaid Enterprise Certification Management Plan**	**100%**	**46 days**	**Mon 2/19/18**	**Mon 4/23/18**		

NOT DATA EXAMPLE

IV&V Project Schedule Example

MES IV&V Project

ID	WBS	Task Name	% Complete	Duration	Start	Finish	Predecessors	Successors
156	2.16.10	Approval of Assessment Report of Medicaid Enterprise Certification Management Plan	100%	0 days	Mon 4/23/18	Mon 4/23/18		
155	2.16.9	Review Assessment Report of Medicaid Enterprise Certification Management Plan	100%	6 days	Mon 4/16/18	Mon 4/23/18	154	
154	2.16.8	Deliver Assessment Report of Medicaid Enterprise Certification Management Plan	100%	0 days	Fri 4/13/18	Fri 4/13/18	153	155
153	2.16.7	Internal Review Assessment of Medicaid Enterprise Certification Management Plan	100%	1 day	Fri 4/13/18	Fri 4/13/18	152	154
152	2.16.6	Assess Medicaid Enterprise Certification Management Plan	100%	9 days	Mon 4/2/18	Thu 4/12/18	151,150	153
151	2.16.5	SEAS Vendor Delivers Medicaid Enterprise Certification Management Plan	100%	1 day	Fri 3/30/18	Fri 3/30/18		152
150	2.16.4	Review and Approve DED Assessment Report of Medicaid Enterprise Certification Management Plan	100%	1 day	Tue 3/13/18	Tue 3/13/18		152
149	2.16.3	Deliver DED Assessment Report of Medicaid Enterprise Certification Management Plan	100%	0 days	Tue 3/13/18	Tue 3/13/18	148	
148	2.16.2	Internal Review DED Assessment Report of Medicaid Enterprise Certification Management Plan	100%	4 days	Thu 3/8/18	Tue 3/13/18	147	149
147	2.16.1	Develop DED Assessment Report of Medicaid Enterprise Certification Management Plan	100%	13 days	Mon 2/19/18	Wed 3/7/18	114	148,67
135	**2.15**	**I-9 Assessment Report of MES Project Management Toolkit**	**100%**	**53 days**	**Mon 12/18/17**	**Mon 3/5/18**		
145	2.15.10	Approval of Assessment Report of MES Project Management Toolkit	100%	1 day	Mon 3/5/18	Mon 3/5/18		
144	2.15.9	Review Assessment Report of MES Project Management Toolkit	100%	23 days	Thu 2/1/18	Mon 3/5/18	143	
143	2.15.8	Deliver Assessment Report of MES Project Management Toolkit	100%	0 days	Thu 2/1/18	Thu 2/1/18	142	144
142	2.15.7	Internal Review Assessment of MES Project Management Toolkit	100%	2 days	Wed 1/31/18	Thu 2/1/18	141	143
141	2.15.6	Assess MES Project Management Toolkit	100%	5 days	Wed 1/24/18	Tue 1/30/18	140,139	142
140	2.15.5	SEAS Vendor Delivers MES Project Management Toolkit	100%	1 day	Tue 1/23/18	Tue 1/23/18		141
139	2.15.4	Review and Approve DED Assessment Report of MES Project Management Toolkit	100%	5 days	Mon 1/8/18	Fri 1/12/18	138	141
138	2.15.3	Deliver DED Assessment Report of MES Project Management Toolkit	100%	0 days	Fri 1/5/18	Fri 1/5/18	137	139
137	2.15.2	Internal Review DED Assessment Report of MES Project Management Toolkit	100%	2 days	Thu 1/4/18	Fri 1/5/18	136	138
136	2.15.1	Develop DED Assessment Report of MES Project Management Toolkit	100%	11 days	Mon 12/18/17	Wed 1/3/18	125	137,103
124	**2.14**	**I-8 Assessment Report of MES Project Management Standards**	**100%**	**58 days**	**Mon 12/11/17**	**Mon 3/5/18**		
134	2.14.10	Approval of Assessment Report of MES Project Management Standards	100%	0 days	Mon 3/5/18	Mon 3/5/18		
133	2.14.9	Review Assessment Report of MES Project Management Standards	100%	23 days	Thu 2/1/18	Mon 3/5/18	132	
132	2.14.8	Deliver Assessment Report of MES Project Management Standards	100%	0 days	Thu 2/1/18	Thu 2/1/18	131	133
131	2.14.7	Internal Review Assessment of MES Project Management Standards	100%	1 day	Wed 1/31/18	Wed 1/31/18	130	132
130	2.14.6	Assess MES Project Management Standards	100%	5 days	Wed 1/24/18	Tue 1/30/18	129,128	131
129	2.14.5	SEAS Vendor Delivers MES Project Management Standards	100%	1 day	Tue 1/23/18	Tue 1/23/18		130
128	2.14.4	Review and Approve DED Assessment Report of MES Project Management Standards	100%	5 days	Wed 12/20/17	Wed 12/27/17	127	130
127	2.14.3	Deliver DED Assessment Report of MES Project Management Standards	100%	0 days	Tue 12/19/17	Tue 12/19/17	126	128
126	2.14.2	Internal Review DED Assessment Report of MES Project Management Standards	100%	2 days	Mon 12/18/17	Tue 12/19/17	125	127
125	2.14.1	Develop DED Assessment Report of MES Project Management Standards	100%	5 days	Mon 12/11/17	Fri 12/15/17		126,136
113	**2.13**	**I-7 Assessment Report of Strategic Project Portfolio Management Plan**	**100%**	**35 days**	**Thu 2/15/18**	**Wed 4/4/18**		
123	2.13.10	Approval of Assessment Report of Strategic Project Portfolio Management Plan	100%	0 days	Wed 4/4/18	Wed 4/4/18		
122	2.13.9	Review Assessment Report of Strategic Project Portfolio Management Plan	100%	4 days	Fri 3/30/18	Wed 4/4/18	121	
121	2.13.8	Deliver Assessment Report of Strategic Project Portfolio Management Plan	100%	0 days	Thu 3/29/18	Thu 3/29/18	120	122
120	2.13.7	Internal Review Assessment of Strategic Project Portfolio Management Plan	100%	1 day	Thu 3/29/18	Thu 3/29/18	119	121

NTT DATA EXAMPLE

IV&V Project Schedule Example

MES IV&V Project

ID	WBS	Task Name	% Complete	Duration	Start	Finish	Predecessors	Successors
119	2.13.6	Assess Strategic Project Portfolio Management Plan	100%	9 days	Fri 3/16/18	Wed 3/28/18	118,117	120
118	2.13.5	SEAS Vendor Delivers Strategic Project Portfolio Management Plan	100%	1 day	Thu 3/15/18	Thu 3/15/18		119
117	2.13.4	Review and Approve DED Assessment Report of Strategic Project Portfolio Management Plan	100%	1 day	Tue 2/20/18	Tue 2/20/18	116	119
116	2.13.3	Deliver DED Assessment Report of Strategic Project Portfolio Management Plan	100%	0 days	Mon 2/19/18	Mon 2/19/18	115	117
115	2.13.2	Internal Review DED Assessment Report of Strategic Project Portfolio Management Plan	100%	1 day	Mon 2/19/18	Mon 2/19/18	114	116
114	2.13.1	Develop DED Assessment Report of Strategic Project Portfolio Management Plan	100%	2 days	Thu 2/15/18	Fri 2/16/18	103	115,147,191
102	**2.12**	**I-6 Assessment Report of MES Strategic Plan**	**100%**	**46 days**	**Thu 1/4/18**	**Fri 3/9/18**		
112	2.12.10	Approval of Assessment Report of MES Strategic Plan	100%	0 days	Fri 3/9/18	Fri 3/9/18		
111	2.12.9	Review Assessment Report of MES Strategic Plan	100%	2 days	Thu 3/8/18	Fri 3/9/18	110	
110	2.12.8	Deliver Assessment Report of MES Strategic Plan	100%	0 days	Wed 3/7/18	Wed 3/7/18	109	111
109	2.12.7	Internal Review Assessment of MES Strategic Plan	100%	1 day	Wed 3/7/18	Wed 3/7/18	108	110
108	2.12.6	Assess MES Strategic Plan	100%	23 days	Fri 2/2/18	Tue 3/6/18	107,106	109
107	2.12.5	SEAS Vendor Delivers MES Strategic Plan	100%	1 day	Thu 2/1/18	Thu 2/1/18		108
106	2.12.4	Review and Approve DED Assessment Report of MES Strategic Plan	100%	4 days	Tue 1/9/18	Fri 1/12/18	105	108
105	2.12.3	Deliver DED Assessment Report of MES Strategic Plan	100%	0 days	Mon 1/8/18	Mon 1/8/18	104	106
104	2.12.2	Internal Review DED Assessment Report of MES Strategic Plan	100%	1 day	Mon 1/8/18	Mon 1/8/18	103	105
103	2.12.1	Develop DED Assessment Report of MES Strategic Plan	100%	2 days	Thu 1/4/18	Fri 1/5/18	136	104,114
91	**2.11**	**I-5 Assessment Report of Revised MITA SS-A and Update Process**	**100%**	**37 days**	**Wed 5/2/18**	**Fri 6/22/18**		
101	2.11.10	Approval of Assessment Report of Revised MITA SS-A and Update Process	100%	0 days	Fri 6/22/18	Fri 6/22/18		
100	2.11.9	Review Assessment Report of Revised MITA SS-A and Update Process	100%	10 days	Mon 6/11/18	Fri 6/22/18	99	
99	2.11.8	Deliver Assessment Report of Revised MITA SS-A and Update Process	100%	0 days	Fri 6/8/18	Fri 6/8/18	98	100
98	2.11.7	Internal Review Assessment of Revised MITA SS-A and Update Process	100%	1 day	Fri 6/8/18	Fri 6/8/18	97	99
97	2.11.6	Assess Revised MITA SS-A and Update Process	100%	8 days	Tue 5/29/18	Thu 6/7/18	96,95	98
96	2.11.5	SEAS Vendor Delivers Revised MITA SS-A and Update Process	100%	1 day	Fri 5/25/18	Fri 5/25/18		97
95	2.11.4	Review and Approve DED Assessment Report of Revised MITA SS-A and Update Process	100%	1 day	Wed 5/9/18	Wed 5/9/18	94	97
94	2.11.3	Deliver DED Assessment Report of Revised MITA SS-A and Update Process	100%	0 days	Tue 5/8/18	Tue 5/8/18	93	95
93	2.11.2	Internal Review DED Assessment Report of Revised MITA SS-A and Update Process	100%	1 day	Tue 5/8/18	Tue 5/8/18	92	94
92	2.11.1	Develop DED Assessment Report of Revised MITA SS-A and Update Process	100%	4 days	Wed 5/2/18	Mon 5/7/18	180	93,202
80	**2.10**	**I-4 Assessment Report of MES Governance Plan**	**100%**	**46 days**	**Thu 1/4/18**	**Fri 3/9/18**		
90	2.10.10	Approval of Assessment Report of MES Governance Plan	100%	0 days	Fri 3/9/18	Fri 3/9/18		
89	2.10.9	Review Assessment Report of MES Governance Plan	100%	5 days	Mon 3/5/18	Fri 3/9/18	88	
88	2.10.8	Deliver Assessment Report of MES Governance Plan	100%	0 days	Fri 3/2/18	Fri 3/2/18	87	89
87	2.10.7	Internal Review Assessment of MES Governance Plan	100%	1 day	Fri 3/2/18	Fri 3/2/18	86	88
86	2.10.6	Assess MES Governance Plan	100%	9 days	Mon 2/19/18	Thu 3/1/18	85,84	87
85	2.10.5	SEAS Vendor Delivers MES Governance Plan	100%	1 day	Fri 2/16/18	Fri 2/16/18		86
84	2.10.4	Review and Approve DED Assessment Report of MES Governance Plan	100%	9 days	Tue 1/9/18	Mon 1/22/18	83	86
83	2.10.3	Deliver DED Assessment Report of MES Governance Plan	100%	0 days	Mon 1/8/18	Mon 1/8/18	82	84
82	2.10.2	Internal Review DED Assessment Report of MES Governance Plan	100%	1 day	Mon 1/8/18	Mon 1/8/18	81	83
81	2.10.1	Develop DED Assessment Report of MES Governance Plan	100%	2 days	Thu 1/4/18	Fri 1/5/18		82
66	**2.9**	**I-3 SI/ESB Solicitation Assessment**	**99%**	**76 days**	**Thu 3/8/18**	**Fri 6/22/18**		
79	2.9.13	Approval of Assessment of SI/ESB Solicitation	100%	0 days	Fri 6/22/18	Fri 6/22/18		
78	2.9.12	Review Assessment of SI/ESB Solicitation	100%	7 days	Thu 6/14/18	Fri 6/22/18	77	
77	2.9.11	Deliver Assessment of SI/ESB Solicitation	100%	0 days	Wed 6/13/18	Wed 6/13/18	76,73	78
76	2.9.10	Internal Review Assessment of SI/ESB Solicitation - Final	100%	1 day	Wed 6/13/18	Wed 6/13/18	75	77
75	2.9.9	Assess SI/ESB Solicitation - Final	100%	10 days	Wed 5/30/18	Tue 6/12/18	71,70,74	76
74	2.9.8	SEAS Vendor Delivers SI/ESB Solicitation - Final	100%	1 day	Tue 5/29/18	Tue 5/29/18	71	75
73	2.9.7	Internal Review Assessment of SI/ESB Solicitation (Attachement B)	100%	1 day	Wed 4/4/18	Wed 4/4/18	72	77
72	2.9.6	Assess SI/ESB Solicitation - Preliminary (Attachement B)	100%	6 days	Tue 3/27/18	Tue 4/3/18	71,70	73

MITA DATA EXAMPLE

IV&V Project Schedule Example

MES IV&V Project

ID	WBS	Task Name	% Complete	Duration	Start	Finish	Predecessors	Successors
71	2.9.5	SEAS Vendor Delivers SI/ESB Solicitation (Attachement B)	100%	1 day	Mon 3/26/18	Mon 3/26/18		75,72,74
70	2.9.4	Review and Approve DED Assessment of SI/ESB Solicitation	100%	1 day	Tue 3/13/18	Tue 3/13/18		75,72
69	2.9.3	Deliver DED Assessment of SI/ESB Solicitation	100%	0 days	Tue 3/13/18	Tue 3/13/18	68	
68	2.9.2	Internal Review DED Assessment of SI/ESB Solicitation	100%	1 day	Tue 3/13/18	Tue 3/13/18	67	69
67	2.9.1	Develop DED Assessment of SI/ESB Solicitation	100%	3 days	Thu 3/8/18	Mon 3/12/18	147,191	68
53	**2.8**	**I-2 Project Schedule/Work Plan**	**100%**	**33 days**	**Mon 12/4/17**	**Mon 1/22/18**		
65	2.8.12	Approval of Project Schedule/Work Plan	100%	0 days	Mon 1/22/18	Mon 1/22/18	64	
64	2.8.11	Review Revised Project Schedule/Work Plan	100%	0 days	Mon 1/22/18	Mon 1/22/18	63	65
63	2.8.10	Deliver Revised Project Schedule/Work Plan	100%	0 days	Mon 1/22/18	Mon 1/22/18	62	64
62	2.8.9	Revise Project Schedule/Work Plan	100%	4 days	Wed 1/17/18	Mon 1/22/18	61	63
61	2.8.8	Review Project Schedule/Work Plan	100%	10 days	Tue 1/2/18	Tue 1/16/18	60	62
60	2.8.7	Deliver Project Schedule/Work Plan	100%	0 days	Fri 12/29/17	Fri 12/29/17	59	61
59	2.8.6	Internal Review Project Schedule/Work Plan	100%	2 days	Thu 12/28/17	Fri 12/29/17	58	60
58	2.8.5	Develop Project Schedule/Work Plan	100%	4 days	Thu 12/21/17	Wed 12/27/17	57	59
57	2.8.4	Review and Approve DED Project Schedule/Work Plan	100%	1 day	Wed 12/20/17	Wed 12/20/17	56	58
56	2.8.3	Deliver DED Project Schedule/Work Plan	100%	0 days	Tue 12/19/17	Tue 12/19/17	55	57
55	2.8.2	Internal Review DED Project Schedule/Work Plan	100%	2 days	Mon 12/18/17	Tue 12/19/17	54	56
54	2.8.1	Develop DED Project Schedule/Work Plan	100%	10 days	Mon 12/4/17	Fri 12/15/17		55
40	**2.7**	**I -1 IV&V Management Plan**	**100%**	**32 days**	**Mon 12/4/17**	**Fri 1/19/18**		
52	2.7.12	Approval of IV&V Management Plan	100%	0 days	Fri 1/19/18	Fri 1/19/18	51	
51	2.7.11	Review Revised IV&V Management Plan	100%	0 days	Fri 1/19/18	Fri 1/19/18	50	52
50	2.7.10	Deliver Revised IV&V Management Plan	100%	0 days	Fri 1/19/18	Fri 1/19/18	49	51
49	2.7.9	Revise IV&V Management Plan	100%	3 days	Wed 1/17/18	Fri 1/19/18	48	50
48	2.7.8	Review IV&V Management Plan	100%	10 days	Tue 1/2/18	Tue 1/16/18	47	49
47	2.7.7	Deliver IV&V Management Plan	100%	0 days	Fri 12/29/17	Fri 12/29/17	46	48
46	2.7.6	Internal Review IV&V Management Plan	100%	2 days	Thu 12/28/17	Fri 12/29/17	45	47
45	2.7.5	Develop IV&V Management Plan	100%	4 days	Thu 12/21/17	Wed 12/27/17	44	46
44	2.7.4	Review and Approve DED IV&V Management Plan	100%	1 day	Wed 12/20/17	Wed 12/20/17	43	45
43	2.7.3	Deliver DED IV&V Management Plan	100%	0 days	Tue 12/19/17	Tue 12/19/17	42	44
42	2.7.2	Internal Review DED IV&V Management Plan	100%	2 days	Mon 12/18/17	Tue 12/19/17	41	43
41	2.7.1	Develop DED IV&V Management Plan	100%	10 days	Mon 12/4/17	Fri 12/15/17		42
34	**2.6**	**Initial Deliverables Monthly Project Assessment 5**	**100%**	**36 days**	**Mon 4/2/18**	**Mon 5/21/18**		
39	2.6.5	Review and Approve MES Monthly Project Status Report 5	100%	10 days	Tue 5/8/18	Mon 5/21/18	38	
38	2.6.4	Deliver MES Monthly Project Assessment Report 5	100%	0 days	Mon 5/7/18	Mon 5/7/18	37	39
37	2.6.3	Internal Review MES Monthly Project Status Report 5	100%	3 days	Thu 5/3/18	Mon 5/7/18	36	38
36	2.6.2	Create MES Monthly Project Status Report 5	100%	7 days	Tue 4/24/18	Wed 5/2/18	35FS-4 days	37
35	2.6.1	Perform Monthly Project Assessment 5	100%	20 days	Mon 4/2/18	Fri 4/27/18		36FS-4 days
28	**2.5**	**Initial Deliverables Monthly Project Assessment 4**	**100%**	**564 days**	**Thu 3/1/18**	**Fri 5/22/20**		
33	2.5.5	Review and Approve MES Monthly Project Status Report 4	100%	10 days	Mon 4/9/18	Fri 4/20/18	32	
32	2.5.4	Deliver MES Monthly Project Assessment Report 4	100%	0 days	Fri 4/6/18	Fri 4/6/18	31	33
31	2.5.3	Internal Review MES Monthly Project Status Report 4	100%	2 days	Thu 4/5/18	Fri 4/6/18	30	32
30	2.5.2	Create MES Monthly Project Status Report 4	100%	8 days	Mon 3/26/18	Wed 4/4/18	29FS-4 days	31
29	2.5.1	Perform Monthly Project Assessment 4	100%	564 days	Thu 3/1/18	Fri 5/22/20		30FS-4 days
22	**2.4**	**Initial Deliverables Monthly Project Assessment 3**	**100%**	**35 days**	**Thu 2/1/18**	**Wed 3/21/18**		
27	2.4.5	Review and Approve MES Monthly Project Status Report 3	100%	10 days	Thu 3/8/18	Wed 3/21/18	26	
26	2.4.4	Deliver MES Monthly Project Assessment Report 3	100%	0 days	Wed 3/7/18	Wed 3/7/18	25	27
25	2.4.3	Internal Review MES Monthly Project Status Report 3	100%	3 days	Mon 3/5/18	Wed 3/7/18	24	26
24	2.4.2	Create MES Monthly Project Status Report 3	100%	6 days	Fri 2/23/18	Fri 3/2/18	23FS-4 days	25
23	2.4.1	Perform Monthly Project Assessment 3	100%	20 days	Thu 2/1/18	Wed 2/28/18		24FS-4 days
16	**2.3**	**Initial Deliverables Monthly Project Assessment 2**	**100%**	**36 days**	**Tue 1/2/18**	**Wed 2/21/18**		
21	2.3.5	Review and Approve MES Monthly Project Status Report 2	100%	10 days	Thu 2/8/18	Wed 2/21/18	20	
20	2.3.4	Deliver MES Monthly Project Assessment Report 2	100%	0 days	Wed 2/7/18	Wed 2/7/18	19	21
19	2.3.3	Internal Review MES Monthly Project Status Report 2	100%	3 days	Mon 2/5/18	Wed 2/7/18	18	20
18	2.3.2	Create MES Monthly Project Status Report 2	100%	6 days	Fri 1/26/18	Fri 2/2/18	17FS-4 days	19
17	2.3.1	Perform Monthly Project Assessment 2	100%	21 days	Tue 1/2/18	Wed 1/31/18		18FS-4 days
10	**2.2**	**Initial Deliverables Monthly Project Assessment 1**	**100%**	**35 days**	**Fri 12/1/17**	**Tue 1/23/18**		
15	2.2.5	Review and Approve MES Monthly Project Status Report 1	100%	10 days	Tue 1/9/18	Tue 1/23/18	14	
14	2.2.4	Deliver MES Monthly Project Assessment Report 1	100%	0 days	Mon 1/8/18	Mon 1/8/18	13	15
13	2.2.3	Internal Review MES Monthly Project Status Report 1	100%	2 days	Fri 1/5/18	Mon 1/8/18	12	14

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IV&V Project Schedule Example

MES IV&V Project

ID	WBS	Task Name	% Complete	Duration	Start	Finish	Predecessors	Successors
12	2.2.2	Create MES Monthly Project Status Report 1	100%	6 days	Wed 12/27/17	Thu 1/4/18	11FS-3 days,9	13
11	2.2.1	Perform Monthly Project Assessment 1	100%	20 days	Fri 12/1/17	Fri 12/29/17		12FS-3 days
5	**2.1**	**DED MES Monthly Project Status/Assessment Report**	**100%**	**13 days**	**Thu 11/30/17**	**Mon 12/18/17**		
9	2.1.4	Review and Approve DED MES Monthly Project Status/Assessment Report	100%	5 days	Tue 12/12/17	Mon 12/18/17	8	240,12,373,384
8	2.1.3	Deliver DED MES Monthly Project Status/Assessment Report	100%	0 days	Fri 12/8/17	Fri 12/8/17	7	9
7	2.1.2	Internal Review DED MES Monthly Project Status/Assessment Report	100%	2 days	Thu 12/7/17	Fri 12/8/17	6	8
6	2.1.1	Develop DED MES Monthly Project Status/Assessment Report	100%	5 days	Thu 11/30/17	Wed 12/6/17		7
1	**1**	**Contract Administration**	**100%**	**30 days**	**Wed 11/15/17**	**Fri 12/29/17**		
3	1.2	Complete Project Startup Checklist Items	100%	30 days	Wed 11/15/17	Fri 12/29/17		
2	1.1	MES IV&V Project Contract Start	100%	0 days	Wed 11/15/17	Wed 11/15/17		

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IV&V Product Review Worksheet			
Project Artifact or Deliverable	Project 1 Coding and Unit Testing Results Document		
IV&V Analyst:	John Smith	**Review Date**:	06/14/2021

Product Review Objective:

During the initial review of the Project 1 Coding and Unit Testing Results Document, IV&V observed a lack of traceability of unit testing results to requirements. Following this observation, the vendor added user stories to the test cases in a subsequent version of the unit test results spreadsheets.

The objective of this review was to confirm the approved functional requirements for Project 1 can be traced to configuration/development activities. RFP requirement 2.4.8.11 states:

> Vendor shall provide a Requirements Traceability Matrix (RTM) to trace the business, functional, technical, and architectural requirements defined in the RAD through the duration of the SDLC including design, configuration/development, testing, and implementation.

Product Review Approach:

This section describes the approach to verify traceability of unit testing results to functional requirements for the following unit test areas:

1. Staging, Integration, Publishing, Project 1 and Project 2
2. Project 2 Recipients

Staging, Integration, Publishing, Project 1 and Project 2 unit test areas:

Using the unit test results spreadsheets referenced in the Coding and Unit Testing Results Document provided by the vendor, IV&V used the user stories associated to the test cases and attempted to map it to a user story in the testing tool. If a match was found, the requirement(s) associated to the user story were documented.

Alternately, the user stories provided in the unit test results spreadsheets were used to map to the user story's field 'AGILE ID'. If a match was found, the requirement(s) associated to the user story were documented.

The following requirements were identified for Staging, Integration, Publishing, Project 1 and Project 2 unit test results:

RFP Requirement	Requirement Description
3.5.6.35 (Project 1)	The vendor shall provide up to 5,000 hours of analysis and query/report writing during Solution Implementation for conversion of existing queries/reports for use with the Contractor's Project 1 reporting and analytics solution and creating dashboards for State business users and shall provide a monthly report of the hours spent on conversion and creation of dashboards
3.5.4.34 (Project 2)	The vendor shall provide up to 5,000 hours of analysis and query/report writing during Solution Implementation for conversion of existing reports for use with the Contractor's reporting and analytics solution and creating dashboards for State business users and shall provide a monthly report of the hours spent on conversion and creation of dashboards
4.2.3.1 (Publishing)	Shall fully execute the approved Data Conversion Plan to create, implement, and execute the load processes for all historical, current, and future data included in the initial scope of this RFP including the following: 1. All historical transactional data added/updated in the source systems on or after July 1, 2011 to the current date and all related master and reference data; 2. All current and future transactional data added/updated in the source systems after the date of the extract of the historical transactional data and related master and reference data; and 3. All data required to meet the requirements established in the Business Intelligence Solutions chapter of this RFP

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IV&V Product Review Worksheet	
4.6.6.13 (Publishing)	The vendor shall develop, implement, operate, and maintain all necessary scripts, configurations, and other artifacts necessary to affect the ETL Plan requirements, and work with State staff to validate the results
4.6.7.11 (Publishing)	The vendor shall develop, implement, operate, and maintain the following interface: Reference and other supporting data

Project 2 Recipient unit test area:

The Project 2 Recipient spreadsheet referenced in the Coding and Unit Testing Results Document explicitly listed the requirements used for the unit test case. No user stories were provided. The following requirements were identified.

Req	Description
4.2.7.1	The vendor shall develop, implement, and apply a Master Data Management Methodology defining the data architecture, modeling, standards, metadata, management, interoperability, privacy and security, and performance aligned with guidance provided through the data governance structure, the business and technical requirements defined with the RFP, and the EDW goals and objectives
4.7.2.6	The vendor shall ensure the unified identity functionality is non-destructive of any native identifiers used within the source systems, providing the ability to access an individual's data by any of the native identifiers related to that individual
4.7.4.23	The vendor shall collaborate with the State to determine the appropriate approach to providing longitudinal access to the various data families supported by the EDW, based on the analytical and reporting needs of the end users, and the depth of history available in the source transactional system
4.3.5.1	The vendor shall apply project 2 methodologies to collecting, aggregating, matching, consolidating, quality-assuring, persisting and distributing data throughout the organization to ensure consistency and control in the ongoing maintenance and use of this information
4.3.6.2	The vendor shall protect and defend data in the EDW by ensuring the data's availability, quality, integrity, authentication, confidentiality, and non-repudiation
4.3.8.3	The vendor shall establish, operate, and maintain data quality improvement processes to identify, correct, and report data quality issues including data redundancy, incorrect values, missing values, and inconsistent values of the data sources and to continually monitor the quality of the data extracted
4.3.9.13	The vendor shall identify and correct data quality issues within the EDW and report the data quality issues to the State
4.3.10.14	The vendor shall notify source system owners/operators of error and issues detected in the source data, report the source data quality issues to the State, and work with the State and the source system owners/operators to resolve the source data quality issues
5.5.4.8	The vendor shall, for the purposes of internal member identification and for matching a member record with a master patient index, capture at a minimum the following patient demographic information: Identifier, Last, Maiden, First, Middle Names, Prefix, Suffix, Birth Name, Birth Location, Other Name or Alias, Social Security Number, Gender, Race, Date of Birth, Street Address, County, City, State, Postal Code, Country, Home Telephone Number, Mobile/Cell Number, Email Address
4.3.5.2a	The vendor shall protect and defend data in the EDW by ensuring the data's availability, quality, integrity, authentication, confidentiality, and non-repudiation, within the Staging/Acquisition layer.
4.3.6.2b	The vendor shall protect and defend data in the EDW by ensuring the data's availability, quality, integrity, authentication, confidentiality, and non-repudiation, within the EDW Integration layer.
4.3.7.2c	The vendor shall protect and defend data in the EDW by ensuring the data's availability, quality, integrity, authentication, confidentiality, and non-repudiation, within the Publish layer.

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IV&V Product Review Worksheet

Summary: The below table summarizes the unit test user stories provided by the vendor and the number of requirements identified by IV&V for each area.

Unit Test Area	User Stories Identified	Requirements Identified
Integration	47	0
Publishing	39	3
Staging	12	0
Project 1	121	2
Project 2	0	12
Total	393	17

Product Review Results and Observations	
1.	Out of 219 approved, functional DDI #1 requirements identified in the testing tool, only 17 requirements could be traced to a unit test result.
2.	112 Project 2 web report test cases (WR tab) did not have a requirement or a user story referenced. The vendor indicated there are no requirements for these reports.
3.	The low number of requirements mapped to unit testing may indicate insufficient unit testing and could be a contributing factor in the system testing delays.
Recommendations	
1.	The State and vendor review testing processes and update the Testing Plan to reflect an approach that facilitates sufficient traceability to ensure coding and unit testing coverage.
2.	The vendor follows the testing processes for the remaining development efforts to reduce defects in subsequent testing phases and avoid project delays.
Reference Materials	
1.	Integration ETL Unit Test Cases May 2020 v2.0
2.	Publishing layer_Unit_Test Results v1.0
3.	Staging ETL Unit Test Results 20200731 v1.0
4.	Project 1 Unit Test Cases 20200930 v2.0
5.	Project 1 Recipient Test Cases _V5_Unit Test Results
6.	State_Project1_RTM_Report_20201223
7.	Testing Tool
8.	Project 1 Coding and Unit Testing Results Document v2.0

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IV&V Weekly Status Report

Reporting Period	[Insert reporting period as Month dd, yyyy – Month dd, yyyy]
Distribution	[Insert distribution list for the weekly status report]

This IV&V Weekly Status Report presents the NTT DATA Independent Verification and Validation (IV&V) [insert project name] activities for week based on information available as of [insert date and time]. It reports IV&V status summaries for each State Client project, deliverables, project artifacts reviewed, and meetings attended. The report concludes with a look at upcoming IV&V activities.

1 IV&V Project Status

[Include the status of the overall project and accomplishments of the NTT DATA team by individual project, including information for each service provided (e.g., project governance, program management). Please add subsections as necessary.]

2 IV&V Deliverables

The IV&V deliverables submitted during this reporting period are as follows:

- [insert a list of submitted deliverables here]

3 IV&V Document Reviews

During this reporting period, IV&V performed project document reviews. The chart below shows the number of concurrent document reviews by project by week.

[Include a snapshot of "IV&V Document Reviews" chart, if available.]

Project document reviews conducted during this period are noted in the following table.

[List artifacts and deliverables reviewed in the following table including the name, version, review status, summary, and start and completion dates of the review. Use the artifact file name. If the file name does not easily identify the artifact, start with a brief narrative description of the artifact followed by the file name in parenthesis.]

Document Name	Version	Review	IV&V Summary	Review Start Date	Review Completion Date

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4 IV&V Meeting Participation Log

During this reporting period, IV&V attended various project meetings. The chart below shows the number of meetings by project by week. The total number of meetings, which IV&V attended, are at the top of the bar for each week.

[Include a snapshot of "Meeting Counts by Week by Project" chart, if available.]

Project meetings attended during this reporting period are noted in the following table.

[List all meetings conducted for the reporitng period in the following table.]

Date/Time	Project	Meeting Title

5 Planned IV&V Activities

[List significant NTT DATA activities planned for the next reporting period. Start each statement with a past tense verb]

The planned activities for the next two weeks are as follows.

- [insert a list of planned activities here]

6 Team Staffing and Travel Schedule

The planned schedules for team staff key team staff for the next few weeks are included in the following table.

[List key staff and schedules in the following table.]

#	Name	Title	On-Site	Off-Site	Vacation
1					
2					
3					

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IV&V Weekly Status Report

Reporting Period	October 11, 2021 to October 15, 2021
Distribution	• Joe Smith – State Medicaid Director • Sara Smith – Program Manager

This IV&V Weekly Status Report is a summary of the IV&V activities for the week based on information available as of 5:00 p.m. (EST), October 15, 2021. It reports IV&V status summaries for each State Client project, deliverables, project artifacts reviewed, and meetings attended. The report concludes with a look at upcoming IV&V activities.

1 IV&V Project Status

1.1 Project Governance

The PMO is looking at additional approaches for highlighting Data Governance status in project level meetings.

1.2 Portfolio Management

The project budget was updated in this period.

1.3 Program Management

State Leadership is working on a strategy for reigning in the Project Schedule which is currently showing a completion date that is beyond December 2024.

As of October 15, 2021, there were no project level issues impacting the Agency's Project. The Project Risk 0290 report, regarding the timely release of funding from the legislature, was expected to trigger an issue as operating funds for FY 2021-2022 had not been received at the start of the quarter. However, the risk's trigger was updated during the Meeting on October 14, 2021, to state that an issue would be logged if funding is not released by the end of the first month of the quarter rather than the start of the first month of the quarter. This update pushes the trigger date to October 31, 2021.

The Agency's routing of the Project Operational Work Plan (OWP) for FY2021-2022 Quarter Two has been submitted downtown. Based on the typical OWP turnaround timelines for legislative reviews and consultation, quarter two funding may not be received until the middle of November 2021, which puts the Agency at risk of not having enough funds on hand to cover October 2021 invoicing amounts that will become due in November 2021.

A new project level decision, 0475 report, has been added to the Decision Log to confirm the plan to shift the management of transition services with the current fiscal agent to the Office of Health Care Connections that was recently formed by the Agency and operating under the Deputy Secretary of Operations. The Office works collaboratively with the Vendor to manage current vendors and fiscal agent. The decision has a due date of October 18, 2021.

There were three open program level decisions with due dates in the past as of the end of this reporting cycle. Decision 0465 (determine interface information governance) has a due date of September 30, 2021. Decision 0444 (determine approach for capturing FMMIS business rules) has a due date of October 6, 2021. Decision 0470 appears to be closed but still has a status of "new" and a due date of October 6, 2021. These decisions were discussed during the Review on October 14, 2021.

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1.4 Enterprise Data Warehouse Implementation Project (EDWI)

The schedule, with status date October 14, 2021, indicates the EDWI Project is 44% complete.

A new project issue, EDW-014, Extended Deliverable Review Cycles (PD-9), was logged on October 11, 2021, with a due date of October 13, 2021. The PD-9 version 003 was received on Monday, October 11, 2021, with the review planned for completion on October 13, 2021. The Agency did not complete the review by the expedited due date, but preliminary internal assessment indicates an additional review cycle will be required.

Project Issue EDW-010, ODS Design Delay, which is dependent on the resolution of PCR EDW-021 and the re-baseline of the project schedule, is due to be resolved on October 22, 2021. However, the project team is still reviewing the EDW Vendor's proposed schedule changes and plans to have the re-baseline approved next week, well beyond the needed due date to resolve the issue.

A project decision, EDW-072, was approved by the Agency to replace the current project schedule with the new baseline when approved. The decision to minimize the changes needed to be synced was made during the status meeting on October 7, 2021, was approved by the EDWI Sponsor. IV&V will perform a schedule comparison to ensure updates captured in the current schedule while the new baseline was being developed are synced.

A new PCR EDW-022, Revised Project Schedule to test Supplementation Logging, Iterative ODS implementation, was logged this reporting period. The intent of the PCR is to add iterative testing tasks to the EDWI Project schedule for Fiscal Agent assessment of the supplemental logging impact on the FMMIS Production environment and to establish thresholds for determining contingency plan actions.

SIT Execution Status, October 12, 2021, was reported as 72% complete.

- Total Test Cases Planned: 2558
- Test Cases Executed: 1832
- Test Cases Passed: 1819
- Test Cases Failed: 13
    - Major Severity Defects: 7
    - Minor Severity Defects: 6

1.5 Operations Center Procurement Project (UOC)

The UOC Procurement Project Schedule, with status date of October 14, 2021, reports the project is 68% complete, with SPI of 1.00, CPI of 0.99, and finish variance of 24 days, indicating the project is a month behind schedule. The cause of this variance is due to pushing out the finalization of contract a month.

Round two questions, after the posting of PSM and Core ITNs, are expected November 18,2021, with responses to the questions due December 13, 2021, and receipt of vendor responses to the ITN due December 30, 2021.

A workshop with SMEs from various units to review the current business process of updating recipient demographics was conducted this week. A follow up workshop to begin the documentation of the future state of this business process will be scheduled.

1.6 Provider Services Module Procurement Project (PSM)

The PSM Procurement Project Schedule, updated through October 14, 2021, reports the PSM procurement project is 72% complete, with SPI of 0.97, CPI of 0.99, and finish variance of 14 days, indicating the project is three weeks behind schedule. The cause of this variance is due to routing of the ITN took two months longer than planned. This schedule shows an expected date for posting the ITN of

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October 26, 2021. Although it is clear this schedule version was updated this week, the schedule status date was not updated and reflects October 7, 2021.

The PSM ITN was posted on October 12, 2021. Questions from potential bidders are due October 19, 2021. Vendor responses to ITN are due December 1, 2021, with contract execution currently planned for September 26, 2022.

1.7 Core Procurement Project

The Core Systems Procurement Project Schedule, with status date of October 14, 2021, reports the Core procurement project is 54% complete, with SPI of 0.97, CPI of 0.95, and finish variance of 13 days, indicating the project is three weeks behind schedule. The cause of this variance is due to routing for review which is not yet complete. Currently the expected date for posting the ITN of November 2, 2021. The plan is to have the ITN ready to post when CMS approval of the ITN is received, so if received early the ITN should post earlier. On the current timeline, questions from potential bidders would be due November 17, 2021, vendor responses to the ITN would be due January 5, 2022, and contract execution November 14, 2022.

1.8 Background Screening Group Single Sign-on (BGS-SSO) Project

At the close of this reporting period the BGS-SSO Project Schedule was 92% complete with an SPI of 0.99 and a CPI of 1.00.

Project Issue-071, System Test Delayed, is still open as testing activities are pending a validation to an update of the authentication libraries. The project team is targeting October 18, 2021, as the start date for testing activities to begin.

1.9 CMS Patient Access Rule (CPAR) Project

At the close of this reporting period the CPAR Project Schedule was 39% complete with an SPI of 0.81 and a CPI of 0.94.

PCR CPAR-02, Update and Re-baseline CPAR Schedule to Align Approach and Address Minor Issues, was approved and the project team is working to re-baseline the project schedule.

Decision CPAR-01, Inclusion of MCO Clinical Data was logged to finalize a decision to remove the need to retrieve Managed Care Organization clinical data from the project scope.

2 IV&V Deliverables

The IV&V deliverables submitted during this reporting period are as follows:

- IV&V Weekly Status Report
- Monthly Progress Report

3 IV&V Document Reviews

During this reporting period, IV&V performed project document reviews. The chart below shows the number of concurrent document reviews by project by week.

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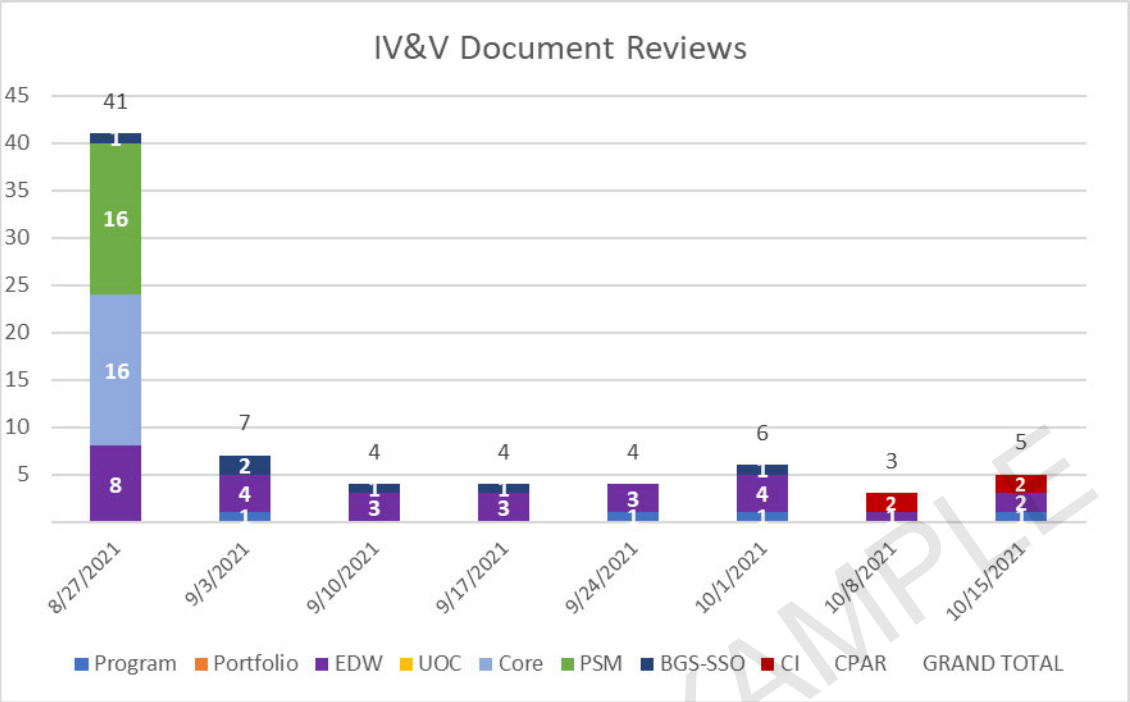

Project document reviews conducted during this period are noted in the following table.

Document Name	Version	Review	IV&V Summary	Review Start Date	Review Completion Date
PP-2: Project Schedule DED	001	1st	IV&V added two comments to the online document. One comment pertains to adding IV&V to the roles and responsibilities table and the other pertains to the inclusion of a reference to Program standards for updating and maintaining project schedules.	10/8/2021	10/11/2021
WS-7: Requirements Specification Document ISIP-0002	002	2nd	All IV&V comments from version 001 were addressed in version 002. IV&V had no additional comments.	10/13/2021	10/15/2021
PD-13: Contingency Plan	002	2nd	IV&V verified that 28 comments were resolved, deferred two comments to the Agency, responded to 15 comments with further clarification on the original comment, and added two new comments on new content to the online version of the document. The two new comments related to the consistent use of subsection or section and changing assertions to potential actions in the declaration process. IV&V verified that one comment on Appendix G, Business Impact Analysis Template was resolved, and two comments remain open regarding definition of the BIA development	10/13/2021	10/18/2021

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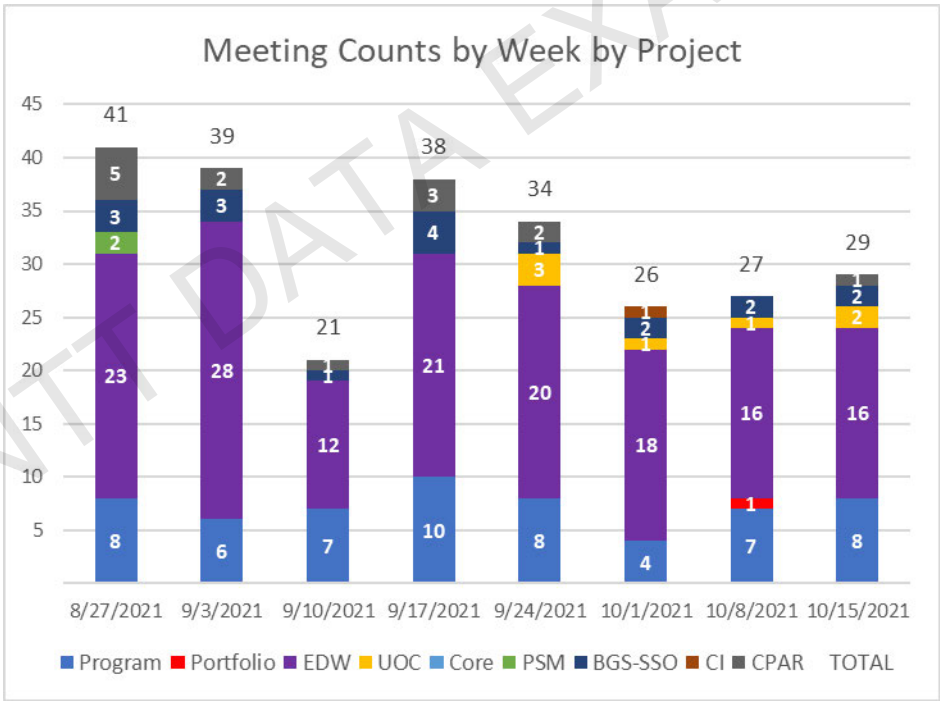
Document Name	Version	Review	IV&V Summary	Review Start Date	Review Completion Date
			process now, not at a later date, and whether a Risk Acceptance Letter is required.		
PD-10: Data Conversion and Migration Plan	001	1st	IV&V document review in progress	10/11/2021	IV&V review due date 10/20/2021
WS-8: System Design Specification Document ISIP-0002	001	1st	IV&V document review in progress	10/18/2021	IV&V review due date 10/21/2021
Meeting and Email Standards and Addendum: Meetings Checklist	001	1st	IV&V document review in progress	10/14/2021	IV&V review due date 11/2/2021

4 IV&V Meeting Participation Log

During this reporting period, IV&V attended various project meetings. The chart below shows the number of meetings by project by week. The total number of meetings, which IV&V attended, are at the top of the bar for each week.



NOTE: Some of the joint procurement meetings (Core, PSM, and UOC) have been grouped under the category labeled 'Program'

Project meetings attended during this reporting period are noted in the following table.

Date/Time	Project	Meeting Title
10/11/2021 10:30	EDW	EDW / FMMIS Touchpoint
10/11/2021 11:00	EDW	EDW Implementation Project - Leadership Meeting
10/11/2021 11:30	UOC	BPA-Prep for SME Workshop

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Date/Time	Project	Meeting Title
10/11/2021 14:30	Program	IV&V Request to Speak with Portfolio Management
10/11/2021 15:00	EDW	EDW PD-13: Contingency Plan Deliverable Comment Remediation Workshop
10/11/2021 16:00	EDW	EDW Risk Meeting
10/12/2021 10:30	Program	Joint AHCA/SEAS
10/12/2021 12:30	Program	Project Schedule: Integrating Project Schedules
10/12/2021 14:30	Program	State/CMS Medicaid Systems
10/12/2021 15:00	EDW	EDW OCM Weekly Working Session
10/13/2021 9:00	CPAR	CPAR-Working Session
10/13/2021 10:00	Program	EPMO
10/13/2021 10:00	EDW	Enterprise Data Governance Workgroup Meeting
10/13/2021 11:30	EDW	EDW PD-9: System Design Document 003
10/13/2021 13:00	EDW	EDWI Data Mart - Hierarchical Condition Category (HCC) Design Session
10/13/2021 13:00	UOC	UOC-BPA Workshop-Recipient Demographic Update
10/13/2021 15:00	EDW	EDWI - EDW ODS Release: SIT Test Execution Recurrence
10/13/2021 16:30	EDW	EDWI PD-10: Data Conversion and Migration Plan Deliverable Walkthrough
10/14/2021 9:30	EDW	EDWI Federal Reporting Discovery Session 9
10/14/2021 10:00	EDW	EDW Status Meeting
10/14/2021 10:30	Program	Joint AHCA/SEAS
10/14/2021 12:30	BGS-SSO	ISIP-0001 Biweekly CRAIDL Review Meeting
10/14/2021 13:00	Program	Procurement Projects Weekly Status Meeting
10/14/2021 13:00	BGS-SSO	ISIP Task Order ISIP-0001 Status Meeting
10/14/2021 14:00	Program	Projects Schedule Review Meeting
10/15/2021 10:30	EDW	PD-9: System Design Document 003
10/15/2021 11:30	EDW	EDWI OBC Work Group
10/15/2021 13:00	EDW	EDWI Data Mart - Provider Enrollment Design Session
10/15/2021 13:00	EDW	AHCA/SEAS EDWI Project Schedule Review Meeting

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5 Planned IV&V Activities

The planned activities for the next two weeks are as follows.

1. Participate in the following meetings:
   - Joint AHCA/SEAS Meeting
   - IS/IP PP-5 SSP Working Session
   - UOC Project Weekly Touchpoint
   - UOC Procurement Project – Status Meeting
   - Interoperability Rules Weekly Status Meeting
   - EDW Implementation Project – Weekly Status Meeting
   - EDWI Project – Weekly Risk Meeting
   - Core Project Weekly Touch Point and Status Meeting
   - Provider Services Module Procurement Project Weekly Touch Point and Status Meeting
   - EPMO Meeting
   - Projects Schedule Review Meeting
   - Implementation Team Meeting
   - Bi-Weekly CRAIDL Review Meeting
   - EDW OCM Weekly Working Session
   - Ad Hoc Meetings as scheduled
2. Review and provide comments when appropriate on vendor documents

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3. Submit the following IV&V deliverables:
    - (2) IV&V Weekly Status Report
    - Monthly IV&V Progress Report
    - IV&V Focused Assessment – ForgeRock Security

6 Team Staffing and Travel Schedule

The planned schedules for key team staff for the next few weeks are included in the following table.

#	Name	Title	On-Site	Off-Site	Vacation
1	Sara Smith	Project Manager	10/18/2021 - 10/22/2021 11/1/2021 - 11/5/2021	10/25/2021 - 10/29/2021 11/8/2021 - 11/12/2021	None
2	Joe Smith	IV & V Lead	10/25/2021 - 10/29/2021 11/1/2021 - 11/5/2021 11/8/2021 - 11/12/2021	10/18/2021 - 10/22/2021	10/18/2021 - 10/22/2021
3					

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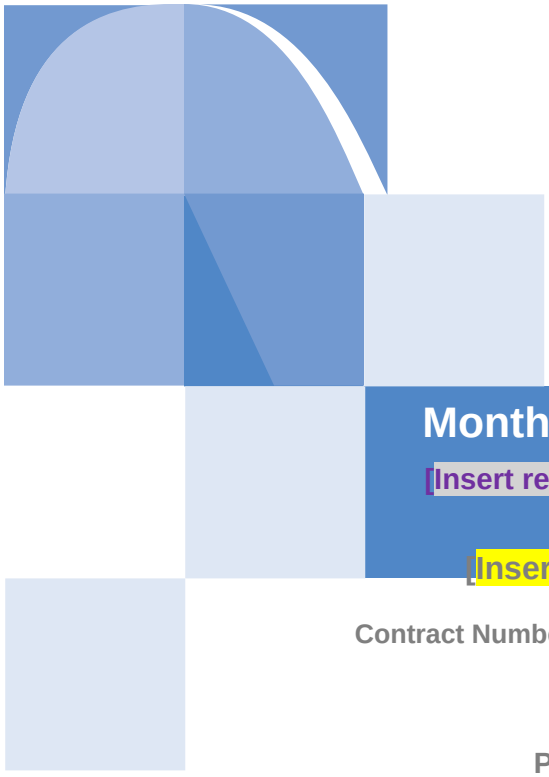

Monthly IV&V Report

[Insert report date]

[Insert Project Name]

Contract Number: [Insert contract number]

Prepared for:

[Insert Client Name]

Version 0.1

[Insert Submission Date]

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REVISION HISTORY

Version	Effective Date	Revision Owner	Description of Change
1.0	[Insert Submission Date]	IV&V Team	Final report delivered

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1 Introduction

This Monthly IV&V Report presents the NTT DATA Independent Verification and Validation (IV&V) activities for the [insert project name] for the reporting period ending [insert date].

[Add additional information on the project, if applicable.]

1.1 Purpose

This report represents a monthly assessment of the [insert project name] and serves as the primary reporting mechanism for NTT DATA. This monthly status report provides consistent and continuous communication regarding observations, risks, issues, and recommendations among the project management team and other project stakeholders.

1.2 Objective

The primary objective of the Monthly IV&V Report is to provide project stakeholders and Centers for Medicare & Medicaid Services (CMS) with independent analysis, improving visibility into the [insert project name] progress and identifying issues to enable them to make informed decisions about the quality of the process and products. This report fulfills requirement [insert requirement number] in the IV&V Contract [insert contract number]. The requirements from the IV&V contract are:

[Add requirements from the Contract.]

1.3 IV&V Process Methodology

The Monthly IV&V Report identifies any inconsistencies related to project requirements, processes, and status, while also providing recommendations for corrective action or improvement. The report is designed to highlight high-risk areas and potential issues in the project and present NTT DATA's recommendations to mitigate the risks and resolve the issues.

IV&V gathered information through meeting attendance, project artifact review, process observation and evaluation and project staff interviews.

NTT DATA uses a "Stop Light" rating system to highlight potential risks to the project. See Appendix B for detailed descriptions of the ratings. All IV&V risks, issues and findings include supporting evidence that a work product or process does or does not satisfy the expectations of the [insert project name] system. The final output is an exception-based report that objectively illustrates any project weaknesses to provide the project stakeholders with the following:

- Increased probability of project success
- An independent, objective assessment focused upon improving project processes
- Recommended mitigation strategies to resolve or defer risks
- Improved visibility of project progress, status, and trends

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The NTT DATA IV&V Methodology encourages collaboration to address potential for corrective action and incorrect statements of fact in this report relating to the time period covered.

The dates referred to in this report are from the project Schedule titled *[Insert Project Schedule Title and Date]*, unless otherwise noted.

1.4 Audience

The target audience for this report is the project stakeholders and CMS, including the following team members:

- [insert a list of all stakeholders involved in the project]

2 Executive Summary

This report focuses on the review and evaluation of project artifacts and processes used to monitor and control the project processes, tasks and documentation from [insert date range]. This report presents IV&V's assessment of project status for each of the project phases relative to tasks and activities currently in progress and subject to IV&V review.

[Note overall risk status and include a list of issues/deficiencies identified through the review process.]

2.1 Project Assessment

Exhibit 1 contains a high-level assessment of the project activities using a dashboard approach, focusing on review and evaluation of project artifacts and processes used to monitor and control the project. Prior risk ratings in Exhibit 1 reflect ratings given in the previous *[insert project name] Monthly IV&V Report* presented to [insert client name].

[Complete a risk assessment for each status item in Exhibit 1.]

Exhibit 1: Executive Summary Dashboard

Status Item	Prior Risk Rating	Current Risk Rating	IV&V Assessment
		GREEN YELLOW RED	

3 IMPACT Project Assessment

IV&V's observations, risks and issues are grouped in standard project management areas as identified in the Project Management Plan (PMP) and according to the Project Management Institute (PMI) Project Management Book of Knowledge (PMBOK®) standard approach. The IV&V analysis of the status in these major areas is developed through attendance at meetings, review of project artifacts, process evaluations and interviews with project staff.

3.1 Project Management Assessment

reflect ratings given in the previous *[insert project name] Monthly IV&V Report* presented to [insert client name].

[Complete a risk assessment for each project management area in Exhibit 2.]

contains the project management assessment results. Prior risk ratings in Exhibit 2 reflect ratings given in the previous *[insert project name] Monthly IV&V Report* presented to [insert client name].

[Complete a risk assessment for each project management area in Exhibit 2.]

Exhibit 2: Project Management Assessment

Project Management Area	Prior Risk Rating	Current Risk Rating	IV&V Assessment
Integration Management		GREEN YELLOW RED	
Scope Management			
Schedule Management			
Cost Management			
Quality Management			

Project Management Area	Prior Risk Rating	Current Risk Rating	IV&V Assessment
Resource Management			
Communications Management			
Risk and Issue Management			
Procurement Management			

3.2 Summary of Recommendations

Error! Reference source not found. provides a summary of recommendations documented throughout this report.

[Complete recommendations and priority rating for each issue/deficiency in Exhibit 3.]

Exhibit 3: Summary of Recommendations

Item	Title	Priority Rating	IV&V Recommendation
I-001		HIGH MEDIUM LOW	

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3.3 Issue Assessment

IV&V assesses project activities and artifacts and publishes an issue log based on NTT DATA's Issue Management Methodology. These issues are included in **Error! Reference source not found.**. Issues identified by the State project team are not included in this report but are entered and monitored in the Project repository. Prior priority/severity ratings referenced in the IV&V Assessment column of Exhibit 4 reflect ratings given in the previous *[insert project name] Monthly IV&V Report* presented to [insert client name].

[Complete the Issues Tracking Log for each active issue in Exhibit 4.]

Note	For this reporting period, IV&V identified [insert number] active issues.

IV&V Issues Management Methodology:

NTT DATA's Issue Management Methodology includes two processes associated with the analysis of all issues: assessing severity and prioritizing issues.

Status: Active, Postponed, Closed
Priority: High, Medium, Low
Severity: High, Medium, Low

Exhibit 4: Issue Tracking Log

IV&V Issue ID	Title / Description / Impact	Status	Priority	Severity	Remediation Recommendation	IV&V Assessment
I-001	**Title:** **Description**: **Impact:**		HIGH MEDIUM LOW	HIGH MEDIUM LOW		

4 Risk Assessment

IV&V assesses project activities and artifacts and publishes a risk log based on NTT DATA's Risk Management Methodology. These risks are included in **Error! Reference source not found.**. Risks identified by the State project team are not included in this report but are entered and monitored in the Project repository. Prior priority ratings referenced in the IV&V Assessment column of Exhibit 5 reflect ratings given in the previous *[insert project name] Monthly IV&V Report* presented to [insert client name].

[Complete the Risk Tracking Log for each risk, including mitigation in Exhibit 5.]

Note For this reporting period, IV&V identified [insert number] active risks.

IV&V Risk Management Methodology

NTT DATA's Risk Management Methodology includes three processes associated with the analysis of all risks: assessing probability, assessing impact, and prioritizing risks. Probability indicates the likelihood of occurrence of an event. Impact is evaluated according to severity of the risk's effect on the project objectives. Prioritization is assigned by a calculation of the Probability and Impact values.

Status: Active, Postponed, Closed, Accepted
Priority: Low, Medium, High, N/A

- Low = Probability x Impact Value < 8
- Medium = Probability x Impact Value => 8 <= 12
- High = Probability x Impact Value > 12

Probability: 1 – Unlikely, 2 – Low Probability, 3 – Possible, 4 – Probable, 5 – Near Certainty
Impact: 1 – Very Low, 2 – Low, 3 – Moderate 4 – Moderately High, 5 – High

Exhibit 5: Risk Tracking Log

IV&V Risk ID	Title / Description / Impact	Status	Priority Rating	Prob.	Impact	Mitigation / Trigger	IV&V Assessment
R-001							

IV&V Risk ID	Title / Description / Impact	Status	Priority Rating	Prob.	Impact	Mitigation / Trigger	IV&V Assessment

4.1.1 Accepted Risks

Exhibit 6 contains accepted risks. Accepted risks are those that lack a realistic alternative but will be addressed and mitigated by other strategies and workarounds. These risks are understood and accepted by the State.

[Complete the Accepted Risk Tracking Log in Exhibit 6.]

Note For this reporting period, IV&V identified [insert number] accepted risks.

Exhibit 6: Accepted Risk Tracking Log

IV&V Risk ID	Title, Description, and Impact	Status
AR-001		Accepted

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5 Project Schedule Assessment

IV&V groups the analysis of the *Implementation Project Schedule* into two areas: schedule management and project delivery. The IV&V analysis of these major areas is developed through attendance at meetings, review of project artifacts, process evaluations and interviews with project staff. IV&V findings and recommendations resulting from review of the *[insert project name] Implementation Project Schedule*, dated *[insert project schedule date]* are represented in this Section.

5.1.1 Schedule Management

This section includes the IV&V analysis of the *[insert project name] Implementation Project Schedule.*

[Add narrative analysis of the Implementation Project Schedule including impacts and recommendations for improvement.]

5.1.2 Project Delivery

Milestones are tools used in schedule management to mark specific points along the project timeline. These points signal completion of a set of related tasks. IV&V assesses milestones in its evaluation of project health. Exhibit 7 contains the project delivery milestones that are required for implementation. Completed milestones have a blue indicator, future milestones have no indicator and active milestones are indicated using the stoplight ratings of green, yellow, and red as defined in Appendix B.

[Complete the Project Delivery milestone descriptions, metrics, and recommendations in Exhibit 7. Additional evaluation tables can be found in Appendix C.]

Exhibit 7: Project Milestone Status

Milestone Name	Percent Complete	Planned Finished Date	Baseline Finish Date	Indicator	Notes

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6 Project Activities

IV&V reports on project progress by providing an overview of project management and System Development Life Cycle (SDLC) activities that occurred during this reporting period.

6.1 Project Deliverable Reviews

Exhibit 8 lists the Core Project implementation deliverables IV&V reviewed during the reported month and the results of those reviews. All dates in the exhibit were derived from the scheduled dated [insert date]. Completed deliverables have a blue indicator, and active deliverables are indicated using the stoplight ratings of green, yellow, and red as defined in Appendix B.

Exhibit 8: Deliverables Reviewed

Deliverable	Delivered Date	Planned Finish Date	Indicator	Notes

Overviews are provided for the following areas: *[Add subsections that are relevant to the IV&V project assessment. This sample includes SIT, Data Conversion, UAT, project decisions, Change Requests, and Action Items].*

6.1.1 SIT

SIT is performed by the application vendor. The SIT process includes individual testing of project-specific use cases related to gaps and performing End-to-End testing to ensure the required functionalities of the system work as expected prior to UAT. SIT is currently ongoing and is scheduled to be completed [insert date].

SIT activities executed during this period include:

- [insert a list of SIT activities]

6.1.2 Data Conversion

Data conversion is performed by the application vendor and the State. The data conversion process includes mapping data from the State legacy MMIS database tables to the new project system database, conversion development to move the data and validation of the converted data. Data conversion activities are currently ongoing and are scheduled to be completed [insert date].

Activities executed during this period include:

- [insert a list of Data Conversion activities]

6.1.3 UAT

UAT is performed by the State. The UAT process includes developing a State UAT Plan, writing UAT test cases, test case execution, documentation and tracking of test cases. The State began writing UAT test cases in [insert date]. UAT execution is scheduled to begin [insert date] and end [insert date].

Activities executed during this reporting period include:

- [insert a list of UAT activities]

6.1.4 Project Decisions

Exhibit 9 lists the [insert number] new project decisions documented during this reporting period.

[Complete the Project Decisions list in Exhibit 9.]

Exhibit 9: Project Decisions

Decision Number	Category	Sub-system	Decision	Individual(s) Making Decision	Related Documentation	Decision Date

6.1.5 Change Requests

There were [insert number] approved Change Requests this reporting period for current and upcoming SIT release cycles. A Change Request is marked “Approved” when it has gone through impact analysis and has been assigned a SIT release. Exhibit 10 depicts the relation of approved Change Requests to SIT release cycles.

[Complete the list of Approved Change Requests in Exhibit 10.]

Exhibit 10: Approved Change Requests

SIT Release	Approved Change Requests

There were [insert number] open Change Requests this reporting period for current and upcoming SIT release cycles. A Change Request is marked “Open” when the associated cost and level of effort have not been evaluated or presented to the project leadership team for their decision. Exhibit 11 depicts the relation of open Change Requests to IMPACT subsystems.

[Complete the list of Open Change Requests in Exhibit 11.]

Exhibit 11: Open Change Requests

IMPACT Subsystem	Open Change Requests

Out of the [insert number] open Change Requests in Exhibit 11, [insert number] were created during this reporting period. Exhibit 12 contains an overview of the Change Requests created during this reporting period.

[Complete the list of New Change Requests in Exhibit 12.]

Exhibit 12: New Change Requests

Number	MES Subsystem	Title	Created Date

6.1.6 Action Items

There were [insert number] open Action Items this reporting period. Out of the [insert number] open Action Items, [insert number] were created during this reporting period. Exhibit 13 contains an overview of open Action Items.

[Complete the list of Open Action Items in Exhibit 13.]

Exhibit 13: Open Action Items

Number	Title	Origination Date	Due Date	Age	Entity

There were [insert number] closed Action Items this reporting period. Exhibit 14 contains an overview of the Action Items that were closed during this reporting period.

[Complete the list of Closed Action Items in Exhibit 14.]

Exhibit 14: Closed Action Items

Number	Title / Description	Origination Date	Closed Date	Age	Entity

6.2 Certification Activities

IV&V initiated activities pertaining to certification planning for the [insert Project specific information]. IV&V will develop a Certification Plan that contains recommended tasks, management processes, evidence structure and roles and responsibilities to support successful certification of the [insert Project specific information].

Activities executed during this reporting period include:

- [insert a list of certification activities]

7 IV&V Activities

This section fulfills requirements [insert list of requirements] in the IV&V Contract [insert contract number]. See Section 1.2 of this report for requirement narrative.

7.1 Project Deliverables Reviewed

The following project deliverables have been reviewed by [insert client name] during this reporting period:

- [insert a list of submitted/reviewed deliverables]

7.2 IV&V Key Accomplishments

IV&V had the following key accomplishments during this reporting period:

- [insert a list of IV&V accomplishments]

7.3 IV&V Planned Activities

IV&V has the following activities planned for the upcoming reporting period:

- [insert a list of planned activities]

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Appendix A. Acronyms

This appendix contains a list of acronyms used in this report, as well as anticipated to be used in future reports.

[Complete the list of Acronyms used throughout this document.]

Acronym	Description

Appendix B. Rating System

Dashboards: To highlight the rating of dashboard topics, NTT DATA uses a “stop light” rating system:

RED	“Red Light” (Risk Alert, i.e., “High Risk”): The area presents serious risk to the project and requires immediate attention. Areas with this status require recommendations to mitigate project risk.
YELLOW	“Yellow Light” (Caution, i.e., “Medium Risk”): The area is not clearly defined, and/or presents moderate risk to the project. For areas with this status, recommendations are important to ensure optimal project operation.
GREEN	“Green Light” (Acceptable to Excellent, i.e., “Low Risk”): The area meets or exceeds established project management standards. To receive this ranking, the approach must present no significant risks to the project.
N/A	The area is not applicable, does not apply to the review period, and is not rated.

Risk and Issues: NTT DATA uses the following rating system to highlight the priority ratings of risks and issues.

HIGH	The area presents an immediate significant concern to the project.
MEDIUM	The area presents a potential concern to the project.
LOW	The area should be monitored and could present an immediate or significant concern to the project.

Appendix C. Project Delivery – Schedule Details

The exhibits in this appendix provide schedule details for the milestone metrics reported in Section 3.5.2.

[Complete the list of Project Milestones/Deliverables completed in Exhibit 15.]

Exhibit 15: Project Delivery Assessment – Milestones/Deliverables Completed

Project Phase Activity	Entity	Percent Complete	Baseline Start	Baseline Finish	Actual Start	Actual Finish	Days Past Due

[Complete the list of Project Milestones/Deliverables past due in Exhibit 16.]

Exhibit 16: Project Delivery Assessment – Milestones/Deliverables Past Due

Project Phase Activity	Entity	Percent Complete	Baseline Start	Baseline Finish	Planned Start	Planned Finish	Days Past Due

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[Complete the list of Project Milestones/Deliverables upcoming in Exhibit 17.]

Exhibit 17: Project Delivery Assessment – Milestones/Deliverables Upcoming

Project Phase Activity	Entity	Percent Complete	Baseline Start	Baseline Finish	Planned Start	Planned Finish

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NTT DATA

Monthly IV&V Report

September 2021

State Medicaid IV&V Project

Contract Number: 1111-11-1111

Prepared for:

State Healthcare and Human Services (HHS)

Version 1.0

October 15, 2021

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REVISION HISTORY

Version	Effective Date	Revision Owner	Description of Change
1.0	10/15/21	IV&V Team	Final report delivered

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NTT DATA EXAMPLE

1 Introduction

This Monthly IV&V Report presents the NTT DATA Independent Verification and Validation (IV&V) activities for the State Medicaid project for the reporting period ending October 15, 2021.

On March 30, 2021, the State Department of Healthcare and Human Services (HHS) executed a sole source contract with an application vendor. Under this contract, the application vendor's responsibilities include:

- Provide operations and maintenance support for the Electronic Medicaid Incentive Payment Program (eMIPP) system component
- Provide operations and maintenance support for the Provider Enrollment (PE) system component
- Complete State Medicaid Program Advanced Cloud Technology (Project) Core system components to support recipient eligibility management, managed care contract management, Medicaid claim prior authorization process, Medicaid claims and encounters adjudication, Fee-for-Service (FFS) Medicaid claims payment, pharmacy claims payments and managed care payments
- Provide operations and maintenance support of the project's Core system components after implementation
- Provide data center cloud-based hosting services for the project's Core, including installation, configuration, testing and operation of the technical infrastructure, including hardware and software, within the data center hosted environment

The project, building upon application vendor's platform, will use a layered implementation approach. This approach includes two implementation phases for the project's Core. Implementation Phase 1 includes managed care encounter claims and capitation payments. Implementation Phase 2 includes FFS claims and pharmacy claims.

NTT DATA State Health Consulting, LLC (NTT DATA) is contracted to provide Independent Verification and Validation (IV&V) of the Medicaid Management Information System (MMIS) project implementation services to HHS under Contract 1111-11-1111. The intent of these services is to conduct verification and validation of the selected application vendor's work products and to evaluate project processes to support successful implementation and certification of the system.

Note This report covers the project's Core implementation and certification activities defined in the application vendor Contract 2021-00-001. Operational activities for eMIPP and PE are out of scope per IV&V contract 2019-00-001.

1.1 Purpose

This report represents a monthly assessment of the State project and serves as the primary reporting mechanism for NTT DATA. This Monthly IV&V Report provides consistent and continuous communication regarding observations, risks, issues, and recommendations among the HHS project management team and other project stakeholders.

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1.2 Objective

The primary objective of the Monthly IV&V Report is to provide project stakeholders and Centers for Medicare & Medicaid Services (CMS) with independent analysis, improving visibility into the State project progress and identifying issues to enable them to make informed decisions about the quality of the process and products. This report fulfills requirement 1.2.2.2.4 in the IV&V Contract 1111-11-1111.

1.3 IV&V Process Methodology

The Monthly IV&V Report identifies any inconsistencies related to project requirements, processes, or status, while also providing recommendations for corrective action or improvement. The report is designed to highlight high-risk areas and potential issues in the project and present NTT DATA's recommendations to mitigate the risks and resolve the issues.

IV&V gathers information through meeting attendance, project artifact review, process observation and evaluation and project staff interviews, as needed.

NTT DATA uses a "Stop Light" rating system to highlight potential risks to the project. See Appendix B for detailed descriptions of the ratings. All IV&V risks, issues and findings include supporting evidence that a work product or process does or does not satisfy the expectations of the State project. The final output is an exception-based report that objectively illustrates any project weaknesses to provide the project stakeholders with the following:

- Increased probability of project success
- An independent, objective assessment focused on improving project processes
- Recommended mitigation strategies to resolve or defer risks
- Improved visibility of project progress, status, and trends

The NTT DATA IV&V methodology encourages collaboration to address the potential for corrective action and incorrect statements of fact in this report relating to the period covered.

The dates referred to in this report are from the project Schedule titled *Sate Project Schedule 10/1/2021*, unless otherwise noted.

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1.4 Audience

The target audience for this report is the project stakeholders and CMS, including the following team members:

- Federal CMS State Officer – James Smith
- State HHS Director – Jane Smith
- State HHS Medicaid Program Administrator – Kelly Smith
- State HHS Chief Information Officer – Robert Smith
- State HHS Project Director – Rachelle Smith
- State HHS Deputy Director – Anita Smith

- State HHS Project Manager – Matthew Smith
- State IV&V Contract Monitor – Richard Smith
- Application Vendor Senior Vice President, Managed Services – John Smith
- Application Vendor Program Director – Billy Smith

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2 Executive Summary

This report focuses on the review and evaluation of project artifacts and processes used to monitor and control the project activities from September 1 to September 30, 2021. The report presents IV&V's assessment of project status for each of the project phases relative to tasks and activities currently in progress and subject to IV&V review.

IV&V assessed the risk level of the project as Low (Green). Key activities this reporting period were related to requirements approval and solution designing of change requests (CRs), conversion of data, completion of penetration testing, continuation of VPAT testing and the successful migration of the Provider Enrollment module into the AWS environment.

2.1 IMPACT Assessment

Error! Reference source not found. contains a high-level assessment of the project activities using a dashboard approach, focusing on review and evaluation of project artifacts and processes used to monitor and control the project. Prior risk ratings in Exhibit 1 reflect ratings given in the previous Monthly IV&V Reports presented to HHS.

Exhibit 1: Executive Summary Dashboard

Status Item	Prior Risk Rating	Current Risk Rating	IV&V Assessment
Integration Management	N/A	GREEN	Integration Management was assessed at low risk. HHS and the application vendor collaborated to monitor and control project work and report on progress toward milestones. The project team adhered to the processes defined within the approved Project Management Plan (PMP). Change requests were created for R11 functionality.
Schedule Management	N/A	GREEN	Schedule Management was assessed at low risk. The project team met weekly to discuss progress and manage timely completion of activities. Planned dates were adjusted as needed; however, the critical path timeline was not affected.
Scope Management	N/A	GREEN	Scope Management was assessed at low risk. R10 solutioning was completed on 9/20/21, and progress was made with R11 requirements. The level of effort for these releases remained within defined limits.
Communications Management	N/A	GREEN	Communications Management was assessed at low risk. HHS and the application vendor held weekly work sessions and met with the project leadership group three times. Daily change request status reports were used to keep the project teams in sync. Project leadership used dashboard reports to communicate project status to sponsors.

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Status Item	Prior Risk Rating	Current Risk Rating	IV&V Assessment
Risk and Issue Management	N/A	GREEN	Risk and Issue Management was assessed at low risk. The project team performed risk analysis across the various activities and documented risks and issues in the project repository. Risks and issues were discussed weekly along with mitigation strategies. Project leadership met bi-weekly to reassess open risks and issues.

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3 IMPACT Project Assessment

IV&V's observations, risks and issues are grouped in standard project management areas as identified in the Project Management Plan (PMP) and according to the Project Management Institute (PMI) Project Management Book of Knowledge (PMBOK®) standard approach. The IV&V analysis of the status in these major areas is developed through attendance at meetings, review of project artifacts, process evaluations and interviews with project staff.

3.1 Project Management Assessment

Exhibit 2 contains the project management assessment results. Prior risk ratings in Exhibit 2 reflect ratings given in the previous *State IV&V Monthly IV&V Report* presented to HHS.

Issues identified by the project team are not included in this report but are entered and monitored in a separate project repository. There were no project level issues this reporting period.

Note IV&V is tracking no active issues.

Exhibit 2: Project Management Assessment

Project Management Area	Prior Risk Rating	Current Risk Rating	IV&V Assessment
Integration Management			*Intentionally left blank*
Scope Management			*Intentionally left blank*
Schedule Management			*Intentionally left blank*
Cost Management			*Intentionally left blank*
Quality Management			*Intentionally left blank*
Resource Management			*Intentionally left blank*

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Project Management Area	Prior Risk Rating	Current Risk Rating	IV&V Assessment
Communications Management			*Intentionally left blank*
Risk and Issue Management			*Intentionally left blank*
Procurement Management			*Intentionally left blank*

3.2 Summary of Recommendations

Exhibit 3 provides a summary of recommendations documented throughout this report.

Issues identified by the project team are not included in this report but are entered and monitored in a separate project repository. There were no project level issues this reporting period.

Note IV&V is tracking no active issues.

Exhibit 3: Summary of Recommendations

Item	Title	Priority Rating	IV&V Recommendation
	Intentionally left blank		

3.3 Issue Assessment

IV&V assesses project activities and artifacts and publishes an issue log based on NTT DATA's Issue Management Methodology. These issues are included in **Error! Reference source not found.**. Issues identified by the State project team are not included in this report but are entered and monitored in the Project repository. Prior priority/severity ratings referenced in the IV&V Assessment column of Exhibit 4 reflect ratings given in the previous *State IV&V Monthly IV&V Report* presented to HHS.

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Issues identified by the project team are not included in this report but are entered and monitored in a separate project repository. There were no project level issues this reporting period.

Note IV&V is tracking no active issues.

IV&V Issues Management Methodology:

NTT DATA's Issue Management Methodology includes two processes associated with the analysis of all issues: assessing severity and prioritizing issues.

Status: Active, Postponed, Closed
Priority: High, Medium, Low
Severity: High, Medium, Low

Exhibit 4: Issue Tracking Log

IV&V Issue ID	Title / Description / Impact	Status	Priority	Severity	Remediation Recommendation	IV&V Assessment
	Intentionally left blank					

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4 Risk Assessment

IV&V assesses project activities and artifacts and publishes a risk log based on NTT DATA's Risk Management Methodology. These risks are included in Exhibit 5. Risks identified by the State project team are not included in this report but are entered and monitored in the Project repository. Prior priority ratings referenced in the IV&V Assessment column of Exhibit 5 reflect ratings given in the previous Monthly IV&V Reports presented to HHS.

Risks identified by the project team are not included in this report but are entered and monitored in a separate project repository. The project repository contained three risks and the project team managed the risks according to the Risk Management Plan located in section 11 of the PMP, *PMP-01-04*.

Note	IV&V is tracking two active risks.

IV&V Risk Management Methodology

NTT DATA's Risk Management Methodology includes three processes associated with the analysis of all risks: assessing probability, assessing impact, and prioritizing risks. Probability indicates the likelihood of occurrence of an event. Impact is evaluated according to severity of the risk's effect on the project objectives. Prioritization is assigned by a calculation of the Probability and Impact values.

Status: Active, Postponed, Closed, Accepted
Priority: Low, Medium, High, N/A

- Low = Probability x Impact Value < 8
- Medium = Probability x Impact Value => 8 <= 12
- High = Probability x Impact Value > 12

Probability: 1 – Unlikely, 2 – Low Probability, 3 – Possible, 4 – Probable, 5 – Near Certainty
Impact: 1 – Very Low, 2 – Low, 3 – Moderate 4 – Moderately High, 5 – High

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Exhibit 5: Risk Tracking Log

IV&V Risk ID	Title / Description / Impact	Status	Priority Rating	Prob.	Impact	Mitigation / Trigger	IV&V Assessment
R-012	**Detailed System Design Documents (DSDD) documentation defects may impact the quality of User Acceptance Testing (UAT)** **Description:** The application vendor identified documentation defects in the merged version 01-01 DSDDs. HHS is using these DSDDs for UAT planning and execution. Therefore, the known documentation defects may impact the quality of UAT. **Impact:** UAT test cases may need to be re-written or re-executed once the DSDD documentation defects are corrected, which may cause schedule delays.	Active	LOW	2	3	**Mitigation:** Identify which documentation defects could impact UAT test case development and have them corrected prior to test case development. **Trigger**: UAT test cases need to be re-written or re-executed to align with corrected DSDDs.	September 2021 Update: The priority for this risk remained low during this reporting period. IV&V assessed the outstanding documentation defects to determine their impact on the quality of UAT. IV&V shared findings and recommendations with HHS. HHS will review IV&V's assessment and provide feedback during the next reporting period. IV&V recommends HHS and the application vendor document the agreed upon process and timeframe for DSDD documentation defect resolution. *Originated November 1,2020*

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IV&V Risk ID	Title / Description / Impact	Status	Priority Rating	Prob.	Impact	Mitigation / Trigger	IV&V Assessment
R-013	**Unresolved data conversion issues may impact the quality of UAT data** **Description:** The resolution rate for data conversion issues is slow leading up to UAT. If testing begins with a large number of unresolved data conversion issues, HHS may not have sufficiently clean data for UAT. **Impact:** HHS may have to re-execute UAT scenarios that require converted data or plan to execute those scenarios later in UAT, which may cause schedule delays for R10 and R11 functionality.	Active	MEDIUM	3	4	**Mitigation:** Identify and prioritize data conversion issues that may impact UAT test case scenarios and resolve them prior to UAT execution. **Trigger:** Planned test cases are delayed due to the lack of cleanly converted data.	September 2021 Update: This risk remained at medium priority. The application vendor and HHS met twice weekly and developed strategies to improve the resolution rate of the conversion issues. Since October's converted data will be used as the initial data load and baseline for UAT, the IMPACT project team must resolve the outstanding conversion issues during the next reporting period to avoid negative impact on the quality of data available at the beginning of UAT execution. *Originated August 31, 2021*

4.1.1 Accepted Risks

Exhibit 6 contains accepted risks. Accepted risks are those that lack a realistic alternative but will be addressed and mitigated by other strategies and workarounds. These risks are understood and accepted by the State.

Note For this reporting period, IV&V no accepted risks.

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Exhibit 6: Accepted Risk Tracking Log

IV&V Risk ID	Title, Description, and Impact	Status
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5 Project Schedule Assessment

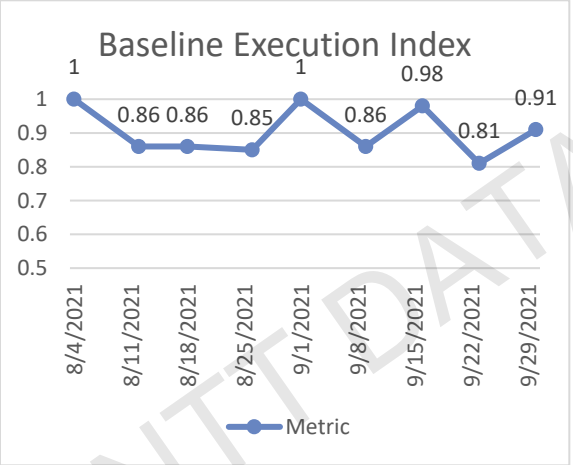
IV&V groups the analysis of the *Implementation Project Schedule* into two areas: schedule management and project delivery. The IV&V analysis of these major areas is developed through attendance at meetings, review of project artifacts, process evaluations and interviews with project staff. IV&V findings and recommendations resulting from review of the previous *State Implementation Project Schedule*, dated *9/30/2021* are represented in this Section.

5.1.1 Schedule Management

Schedule Management was assessed at low risk based on analysis of the State MMIS Master Schedule with status date of September 30, 2021.

The project schedule was baselined on August 4, 2021. Therefore, metrics shown this month reflect week-over-week trends. As the project progresses, these trends will show month-over-month trends. IV&V assessed the schedule using industry standard metrics. Two of these metrics, Baseline Execution Index (BEI) and Missed Task Percentage, are further described in Exhibit 7 and Exhibit 8.

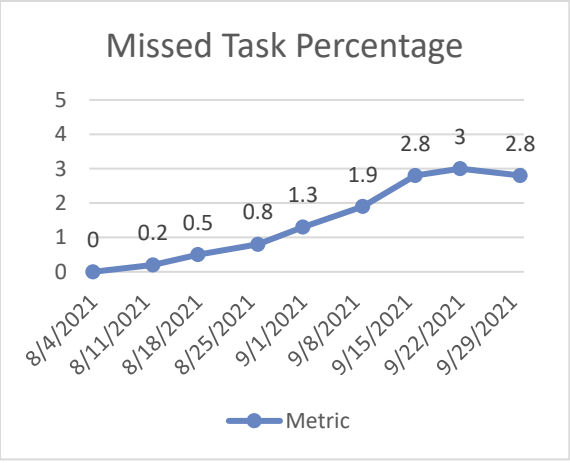
Exhibit 7: Baseline Execution Index



Description: BEI is used to track how closely a project is being executed in comparison to the baseline schedule. BEI provides an early detection for schedules in danger of missing their deadline.The target for this metric is 1.0.

Assessment: The BEI was measured at .91, indicating low risk to the project. Tasks are not finishing on schedule according to the planned dates; however, negative impact to the critical path has not been realized.

Exhibit 8: Missed Task Percentage



Description: Missed tasks in the project schedule are those where the actual finish date is later than the baseline finish date. When computing this number, only completed activities are taken into consideration. The target for this metric is 5% or less.

Assessment: The missed task count was 123 or 2.8%. This is an increase of 1.5% or around 40% more than the previous month. Although an increasing trend was realized, this measure is below the target metric, indicating low risk to the project.

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5.1.2 Project Delivery

Milestones are tools used in schedule management to mark specific points along the project timeline. These points signal completion of a set of related tasks. IV&V assesses milestones in its evaluation of project health.

Exhibit 9 contains the project delivery milestones that are required for implementation. Completed milestones have a blue indicator, future milestones have no indicator and active milestones are indicated using the stoplight ratings of green, yellow and red as defined in Appendix B. The project is on target for meeting the implementation date.

Exhibit 9: Project Milestone Status

Milestone Name	Percent Complete	Planned Finished Date	Baseline Finish Date	Indicator	Notes
Project Planning Completion (Includes Schedule Baseline and PMP Approval)	100%	8/3/21	8/3/21		
System Security Plan Approval	0%	9/30/21	8/13/21		This milestone is past the baseline finish date of 8/13/21. The planned finish date was extended to 9/30/21 and allowed HHS, the application vendor, and IVV&V to have detailed discussions around security, resulting in a comprehensive plan. The delay does not have downstream impact in the schedule.
R10 Requirements Complete Milestone	100%	6/7/21	6/7/21		
R10 Solutioning Complete Milestone	100%	9/20/21	9/24/21		R10 solutions were presented and accepted this reporting period.
R10 Development Complete Milestone	0%	1/27/22	1/6/22		Future Milestone. The planned finish date was extended from 1/21/22 to 1/27/21.
R10 System Testing Complete Milestone	0%	5/25/22	5/19/22		Future Milestone. The planned finish date was adjusted from 7/7/22 to

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Milestone Name	Percent Complete	Planned Finished Date	Baseline Finish Date	Indicator	Notes
					5/25/22.
R11 Requirements Complete Milestone	100%	9/30/21	10/1/21		
R11 Solutioning Complete Milestone	0%	2/2/22	2/1/22		Future Milestone. The planned finish date was extended from 2/1/22 to 2/2/22.
R11 Development Complete Milestone	0%	6/16/22	6/8/22		Future Milestone. The planned finish date was extended from 6/8/22 to 6/16/22.
R11 System Testing Complete Milestone	0%	11/9/22	8/12/22		Future Milestone. The planned finish date was extended from 8/12/22 to 11/9/22.
Performance Test Complete Milestone	0%	3/14/23	3/14/23		Future Milestone
Version 4.0 Configuration (Including UAT Configuration)	0%	11/23/2021	12/1/21		Future Milestone. The planned finish date was adjusted from 12/1/21 to 11/23/21.
Version 5.0 Configuration (Including UAT Configuration)	0%	6/21/22	6/27/22		Future Milestone. The planned finish date was adjusted from 6/27/21 to 6/21/22.
Version 6.0 Configuration	0%	3/28/23	3/28/23		Future Milestone
Parallel Testing Complete Milestone	0%	3/15/23	3/15/23		Future Milestone
Final Implementation Planning Milestone (Complete Phase 1)	0%	11/8/22	11/8/22		Future Milestone. The planned finish date was adjusted from 11/28/22 to 11/8/22.
Disaster Recovery Milestone Complete	0%	12/8/22	12/8/22		Future Milestone
Implementation Phase 1	0%	3/29/23	3/29/23		Future Milestone

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Milestone Name	Percent Complete	Planned Finished Date	Baseline Finish Date	Indicator	Notes
Final Implementation Planning Milestone (Complete Phase 2)	0%	6/2923	6/29/23		Future Milestone
Implementation Phase 2	0%	9/28/23	9/29/23		Future Milestone

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6 Project Activities

This section reports on project areas that were active and accessible to IV&V for participation and monitoring during this reporting period.

6.1 Project Deliverable Reviews

Exhibit 10 lists the Core Project implementation deliverables IV&V reviewed during the reported month and the results of those reviews. All dates in the exhibit were derived from the scheduled dated September 30, 2021. Completed deliverables have a blue indicator, and active deliverables are indicated using the stoplight ratings of green, yellow and red as defined in Appendix B.

Exhibit 10: Deliverables Reviewed

Deliverable	Delivered Date	Planned Finish Date	Indicator	Notes
Master Operations Document	8/26/21	10/7/21		After review, HHS rejected version 01-01 of this deliverable. HHS and IV&V will review the revised version once delivered. This task has no downstream impact in the schedule.
R10 Design Packets	8/2/2021	9/21/2021		HHS approved the R10 design packets on 9/20/21.
System Security Plan	8/5/2021	9/30/2021		Comments from the second review were discussed. The application vendor updated the document and addressed the comments. The application vendor agreed to document activities that will be completed in the future within a Plan of Action and Milestones (POA&M) prior to approving this deliverable. Completion of this milestone is expected in October 2021.
Communications Management Plan	9/9/21	9/30/21		IV&V reviewed and delivered comments on the plan on 9/28/21.

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Overviews are provided for the following areas: R10/R11 System Requirements and Data Conversion.

6.1.1 R10/R11 System Requirements

Requirement validation activities were assessed at low risk.

HHS is allotted 16,000 hours of enhancements to be applied to the base system. These enhancements are divided between two releases: R10, and R11. The enhancements are submitted through the change request process: Requirement Validation, Impact Analysis, Solution Development, and Design.

HHS reviewed the design packets for the approved solutions for the R10 change requests and approved all R10 CR design packets in September 2021. The application vendor began development of the R10 CRs and is scheduled to complete development in January 2022.

Requirement approval for R11 change requests was originally scheduled for September 24, 2021 but was extended into the first week of October to allow for further elaboration of requirements. The application vendor performed impact analysis for the approved R11 change requests. This milestone is scheduled for completion in November 2021.

shows the change request status as of the end of the month.

Exhibit 11: Change Request Status

Release	Total	Pending	Requirements Approved	Impact Analysis Approved	Solution Approved	Design Approved	In Development
R10	**28**	0	0	0	0	0	28
R11	**25**	13	11	1	0	0	25

6.1.2 Data Conversion

Data conversion activities were assessed at low risk.

Data conversion activities continued in September 2021 and are planned to finish in August 2023. Data conversion is performed by the application vendor, HHS, and the HHS Enterprise Data Warehouse (EDW) team. The data conversion process includes mapping data from the HHS legacy MMIS database tables to the new system database. Activities executed this reporting period include:

- **Data Conversion Sessions:** The project team conducted data conversion sessions twice per week to review data conversion action items, data exceptions and conversion validation environment issues for the project subsystems. The project team increased their productivity by focusing on specific subsystems in each meeting, which allowed for a targeted audience to be present and freed up resources' time to work on other tasks.
    - Data Conversion Action Items: The project team continued to resolve open data conversion action items. The application vendor reviewed the data conversion action item log with HHS and found no issues. As of September 30, 2021, 13 open action items were assessed at low, medium and high priority, with due dates in the subsequent reporting periods. The Conversion team is tracking conversion action items separately in an Excel spreadsheet, *Conversion Session - AI 09282021*, located within the project repository.
    - UAT Schedule: The application vendor developed a schedule of the conversion tasks that will be performed by each entity leading up to UAT and will identify when the application vendor will begin sending the incremental UAT extracts for the EDW team to load in the data warehouse during UAT. The IMPACT project team will review the UAT schedule and continue discussion during the next reporting period to understand the expectations and determine if any adjustments are needed to the schedule.
- **Data Conversion Risk**: Project risk RSK2021-0003 and IV&V Risk R-013 related to how unresolved conversion issues may impact the quality of data required for UAT remained open. Since October's

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converted data will be used for the initial data load and baseline for UAT, the outstanding conversion issues must be resolved by the end of October to be reflected in the UAT environment. The application vendor and HHS will continue to resolve outstanding issues during the monthly data conversion iterations; however, the resolution to those issues will not be reflected until halfway through UAT when the UAT environment is refreshed in June 2022. The conversion issues consist of data exceptions and conversion validation environment issues. IV&V will continue to monitor the progress of the conversion issues and the plan for HHS and the application vendor to resolve them. The project team is tracking the risk within the project repository.

- Data Exception Issues: Data exceptions are source data records that result in errors during the conversion process and could not be converted. To mitigate the data exceptions, HHS either provides new conversion rules or modifies existing conversion rules, cleans up the source data in their EDW, or chooses to ignore the source records. As of September 30, 2021, 44 open exceptions across all the project subsystems need to be resolved prior to the start of UAT. Data exceptions identified each month during the conversion process are tracked in the individual exception reports for each subsystem, located within the project repository. The project team continued to discuss mitigation strategies to help resolve the exceptions. The project team also updated the mapping document within the project repository for the following subsystem:
  - Claims and Encounters Adjustments: (IL_CE Adj_Conversion Mapping)
- Conversion Validation Environment (CVE) Issues: The CVE was established to allow the IMPACT project team to validate converted data and address conversion issues. A process was employed to discuss issues during the weekly mapping sessions, allowing the project team to resolve the converted data issues or create mitigation strategies prior to the HHS UAT phase. As of September 30, 2021, the number of open CVE issues remained at 238 across all the IMPACT subsystems. However, the application vendor believes 122 of those issues are resolved and is waiting for HHS' verification to close them. The Conversion Team is tracking conversion validation issues separately in an Excel spreadsheet, *CVE Issues Log*, located within the project repository.

The project team is scheduled to continue weekly data conversion mapping sessions throughout the next reporting period to review updates to the mapping documents and discuss updates from HHS regarding action items and validation issues.

6.2 Certification

IV&V initiated activities pertaining to certification planning for the State IV&V project. IV&V will develop a Certification Plan that contains recommended tasks, management processes, evidence structure and roles and responsibilities to support successful certification of the project-specific information.

Certification activities were assessed as low risk.

The State plans to certify the full solution (PE and Core) at one time, relative to the Core phase two implementation in September 2023. The State will align with Streamlined Modular Certification (SMC) federal certification guidance as it is made available.

Activities executed during this reporting period include:

- CMS approved the Implementation Advance Planning Document Update (IAPDU) and the state-specific outcomes within the IAPDU.

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- IV&V delivered the Certification Management Plan (CMP) Deliverable Expectation Document (DED) to HHS and provided a brief overview of the DED and current CMS guidance to HHS and the application vendor.

- IV&V began to develop the CMP and will deliver a draft version in October 2021.

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7 IV&V Activities

This section fulfills requirements 1.2.2.2.4.A.a and 1.2.2.2.4.A.d in the IV&V Contract 2019-00-001.

IV&V tasks performed this month include:

- Assessed project progress and artifacts against the contract, project schedule, and other project governance documentation
- Attended and captured notes for the following project meetings:
  - HHS /Department of Innovation and Technology (DoIT) Okta discussion meetings
  - HHS /IV&V status meetings
  - Project configuration meetings
  - Project conversion session meetings
  - Project leadership meetings
  - Project initiation and planning work sessions
  - Project solution sessions review meetings
  - Project sponsor meeting
  - KL&A contract meeting
  - Weekly schedule review meetings
  - Weekly UAT discussion with IV&V
  - Weekly Island Time Meetings
- Completed assessment and delivered comments for the EDW DSDD 01-03
- Completed assessment of the IMPACT System Security Plan v.3 (IMPACT-SSP-IL-01-03) and delivered comments to HHS
- Completed assessment of the Master Interface List and delivered comments to HHS
- Completed assessment of the outstanding documentation defects and delivered comments to HHS
- Completed assessments and delivered comments for the Release 10 change request design packets
- Continued to work with HHS to develop a strategy and list of topics for UAT
- Continued to work with HHS to refine the enterprise-level outcome statements
- Delivered a response to CMS regarding the Quarterly Certification Report
- Delivered State Sole Source Contract DRAFT v0.4 to HHS
- Delivered IV&V Invoice for August to HHS
- Delivered IV&V Weekly Status Reports to HHS

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- Delivered suggestions and industry best practices for development and maintenance of the implementation project schedule
- Mapped the requirements in the State Sole Source Contract_DRAFT v0.3 to the PCO vendor's Statement of Work (SOW)
- Monitored As-One for additional project artifacts to transfer to the HHS S: Drive
- Obtained access to the application vendors issue tracking system to review open documentation defects
- Onboarded new IV&V analysts
- Developed and presented the CMP DED to the project team
- Reviewed project documentation (artifacts listed in IV&V Weekly Status Reports)
- Saved the IV&V Services Schedule for June and July to the S: Drive

IV&V plans for the upcoming month include:

- Assess project progress and artifacts against the contract, project schedule, and other project governance documentation
- Attend weekly project meetings
- Continue assessment of the Release 110 change requests design packets
- Continue to work with HHS on developing their UAT strategy and punch list
- Continue to work with HHS to refine enterprise-level outcomes
- Deliver IV&V Invoice for August to HHS
- Deliver Monthly IV&V Report
- Deliver IV&V Services Schedule for August and September to HHS
- Deliver IV&V Weekly Status Reports to HHS
- Maintain IMPACT project artifacts between As-One and the HHS S: Drive
- Provide certification recommendations and subject matter expertise to support certification planning for State modules
- Review the Data conversion plan
- Review the Master Interface List updates

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Appendix A. Acronyms

This appendix contains a list of acronyms used in this report, as well as anticipated to be used in future reports.

Acronym	Description
AWS	Amazon Web Service
B2B	Business to Business
BA	Benefits Administration
BEI	Baseline Execution Index
CE	Claims and Encounters
CHAMPS	Community Health Automated Medicaid Processing System
CM	Contract Management
CMS	Centers for Medicare & Medicaid Services
CR	Change Request
DCMA	Defense Contract Management Agency
DDI	Design, Development, and Implementation
DED	Deliverable Expectation Document
DoIT	Department of Innovation and Technology
DSDD	Detailed System Design Document
DTMB	Department of Technology, Management and Budget (Michigan)
EDW	Enterprise Data Warehouse
EE	Eligibility and Enrollment
eMIPP	Electronic Medicaid Incentive Payment Program
ESC	Executive Steering Committee
FFP	Federal Financial Participation
FIN	Financial Services
FTS	File Transfer Service
GS	General Services
GTM	Gap Traceability Matrix
HHS	Healthcare and Human Services
IAPD-U	Implementation Advance Planning Document Update
ICD	Interface Control Document
IGA	Intergovernmental Agreement
IV&V	Independent Verification and Validation
KPI	Key Performance Indicator
MaaS	MMIS as a Service
MECT	Medicaid Enterprise Certification Toolkit

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Acronym	Description
MMIS	Medicaid Management Information System
MS	Member Services (Milestone when referencing schedule tasks)
OBC	Outcomes Based Certification
OCM	Organizational Change Management
OFIN	Oracle Financials/Financial Services
PA	Prior Authorization
PCM	Payment Control Module
PCO	Project Control Office
PE	Provider Enrollment
PMBOK®	Project Management Body of Knowledge
PMI	Project Management Institute
PMO	Project Management Office
PMP	Project Management Plan
POA&M	Plan of Action & Milestones
PRV	Provider Management
RAI	Request for Additional Information
RFP	Request for Proposal
RTM	Requirements Traceability Matrix
SDLC	System Development Life Cycle
SIT	System Integration Testing
SLA	Service Level Agreement
SME	Subject Matter Expert
SOW	Statement of Work
T-MSIS	Transformed Medicaid Statistical Information System
TPL	Third Party Liability
UAT	User Acceptance Testing
VPN	Virtual Private Network
WBS	Work Breakdown Structure

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Appendix B. Rating System

Dashboards: To highlight the rating of dashboard topics, NTT DATA uses a "stop light" rating system:

RED	"Red Light" (Risk Alert, i.e., "High Risk"): The area presents serious risk to the project and requires immediate attention. Areas with this status require recommendations to mitigate project risk.
YELLOW	"Yellow Light" (Caution, i.e., "Medium Risk"): The area is not clearly defined, and/or presents moderate risk to the project. For areas with this status, recommendations are important to ensure optimal project operation.
GREEN	"Green Light" (Acceptable to Excellent, i.e., "Low Risk"): The area meets or exceeds established project management standards. To receive this ranking, the approach must present no significant risks to the project.
N/A	The area is not applicable, does not apply to the review period, and is not rated.

Risk and Issues: NTT DATA uses the following rating system to highlight the priority ratings of risks and issues.

HIGH	The area presents an immediate significant concern to the project.
MEDIUM	The area presents a potential concern to the project.
LOW	The area should be monitored and could present an immediate or significant concern to the project

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Privacy and Security Plan

State Medicaid Enterprise Systems (MES)
IV&V Program

NTT DATA EXAMPLE

Contract Number:

#########

Prepared for:

State Medicaid Agency

Version # ###.##

DATE

mm/dd/yyyy

REVISION HISTORY

Version	Effective Date	Revision Owner	Description of Change

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LIST OF EXHIBITS

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1 Introduction

The Privacy and Security Plan defines how privacy and security implications, considerations, and requirements will be incorporated into the State Medicaid Enterprise Systems (MES) Modernization Program lifecycle. This plan focuses on management, operational, and technical security controls and the required actions of the Independent Verification & Validation (IV&V) Services Vendor Program Manager and team members. The IV&V Services Vendor staff working on the State MES program must comply with the State privacy policies and security rules. However, this plan covers additional items not included in the State Medicaid Agency policies and rules.

This plan was developed as the IV&V Services Vendor's response to the "Medicaid Enterprise Security Policy" The policy was written by the Agency's Chief Information Security Officer (CISO) and references NIST-800-53 "Recommended Security Controls for Federal Information Systems." The policy can be found at the following link <a link to the policy will be add at a future release of the document>.

1.1 Referenced Deliverables and Artifacts

The deliverable follows the federal and state legal and regulatory requirements listed below:

- Provisions in the Health Insurance Portability and Accountability Act (HIPAA) Security Rule
- Provisions in the HIPAA Privacy Rule
- The Health Information Technology for Economic and Clinical Health (HITECH) and Privacy Act
- The Federal Information Security Management Act (FISMA)
- Office of Management and Budget (OMB) policies, directives, and memoranda
- Health and Human Services (HHS) policies, directives, and memoranda
- National Institute of Standards and Technology (NIST) Special Publication 800-53 Security Controls
- OMB Circular No. A-130, Appendix III--Security of Federal Automated Information Systems
- Federal Information Processing Standard (FIPS) 200 entitled "Minimum Security Requirements for Federal Information and Information Systems"
- NIST Special Publication 800-53 "Recommended Security Controls for Federal Information Systems"
- IV.E.1. IV&V Vendor Provided Hardware
- IV.I.2.I. Medicaid Enterprise Security
- Medicaid Enterprise Security Policy – Full Set - Moderate

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2 Program Management

Per the Medicaid Enterprise Security Policy: The Security and Privacy Program Plan supports Security and Privacy Program operations using program management best practices. Specific procedures, standards, products, repositories, and systems will be put into place that will require organizational participation. The end goal of Security and Privacy Program Management is to provide the structure that will consume, retain, distribute, and report security and privacy documentation to aid the Agency in clearly understanding the risk provided to its mission by its information resources.

2.1 State Medicaid Policy

The IV&V Services Vendor will abide by all procedures, standards, products, repositories, and systems put in place by the State. The IV&V Services Vendor will distribute and disseminate all procedures, standards, products, and repositories to the IV&V team as required.

2.2 IV&V Policy

This NIST control family is not applicable at the time of release of this document.

3 Access Control

Per the Medicaid Enterprise Security Policy: The Agency will limit information system access to authorized users, processes acting on behalf of authorized users, or devices (including other information systems), and to the types of transactions and functions that authorized users are permitted to exercise.

3.1 State Medicaid Policy

During project initiation, or whenever a new member joins the team, the IV&V Service Vendor Program Manager will request access to the State MES SharePoint site with appropriate rights. This involves completing mandatory HIPAA and Data Security training.

The IV&V Services Vendor employees will be issued equipment by the Agency. Only Agency issued equipment should be used to connect to the Agency network. The IV&V Services Vendor employees are responsible for following Agency policies and procedures regarding the use of Agency issued equipment when connected to the Agency network, and when not connected to the Agency network.

Whenever a member leaves the team, or at project closeout, the Program Manager will request a revocation of access via the Medicaid Access Request Form to the State Medicaid Help Desk on the day of separation, and in coordination with the individual's administrative manager, will request that the IV&V Services Vendor Technical Innovations team revoke the user's access to the appropriate IV&V Services Vendor project assets. The IV&V Services Vendor Program Manager will also collect any Agency issued hardware at this time.

3.2 IV&V Policy

During project initiation and whenever a new member joins the team, the Program Manager will grant access to the project site with the appropriate rights. When a new member joins, the Program Manager will request access to the internal IV&V Services Vendor MES SharePoint site through the IV&V Services Vendor Technical Innovations team.

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During project closeout or whenever a member leaves the team, the Program Manager will revoke access to the project, site and in coordination with the individual's administrative manager, will request that the IV&V Services Vendor Technical Innovations team revoke the user's access to the appropriate project asset.

4 Awareness and Training

Per the Medicaid Enterprise Security Policy: The Agency will: (i) ensure that managers and users of organizational information systems are made aware of the security risks associated with their activities and of the applicable laws, Executive Orders, directives, policies, standards, instructions, regulations, or procedures related to the security of organizational information systems; and (ii) ensure that organizational personnel are adequately trained to carry out their assigned information security-related duties and responsibilities.

4.1 State Medicaid Policy

The IV&V Services Vendor staff working on the State MES program must complete privacy and security related courses provided by the Agency. Completion of Agency-required trainings and refreshers by team members are tracked in the Agency's Learning Management System (LMS). This system is used to administer and track all learning activities. Within three days of starting, project personnel will receive an email from the system manager providing their learning account access information, required training courses, and help/support contact information. The project personnel are advised to complete this training within 5 business days of receiving this email. The standard for certification on all required courses is 100% View and 100% Score. All Medicaid Staff and project personnel must complete each of the required compliance courses on an annual basis (exception – State Ethics Commission is a one-time requirement). Recertification campaigns will be announced via email to all Agency network users. If new training is added to the required course list, the project personnel will receive an email specifying the training course and due dates for completing the new training.

4.2 IV&V Policy

The IV&V Services Vendor employees are also required to complete training regarding privacy, security, and protection of Protected Health Information (PHI), in addition to courses on ethics and compliance with corporate and legal standards. Each subsequent year, employees are required to take refresher courses on these subjects. Training history and results are stored in IV&V Services Vendor's Learning Management System, Catalyst.

Any team member found to be not up to date on their required information security training (Agency issued or IV&V Services Vendor issued) will have access to project resources suspended until the required training is completed. Each manager is responsible for ensuring that their respective Employees and business partners complete the mandatory information security training.

5 Audit and Accountability

Per the Medicaid Enterprise Security Policy: The Agency will: (i) create, protect, and retain information system audit records to the extent needed to enable the monitoring, analysis, investigation, and reporting of unlawful, unauthorized, or inappropriate information system activity; and (ii) ensure that the actions of individual information system users can be uniquely traced to those users so they can be held accountable for their actions.

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5.1 State Medicaid Policy

The IV&V Services Vendor employees will be issued laptops by the Agency which are governed by State policy for audit and accountability.

5.2 IV&V Policy

This NIST control family is not applicable at the time of release of this document.

6 Assessment and Authorization

Per the Medicaid Enterprise Security Policy: The Agency will: (i) periodically assess the security controls in organizational information systems to determine if the controls are effective in their application; (ii) develop and implement plans of action designed to correct deficiencies and reduce or eliminate vulnerabilities in organizational information systems; (iii) authorize the operation of organizational information systems and any associated information system connections; and (iv) monitor information system security controls on an ongoing basis to ensure the continued effectiveness of the controls.

6.1 State Medicaid Policy

The IV&V Services Vendor will be implementing processes to enable accurate assessment, measurement, and reporting on the Medicaid program. The security controls of the Agency information system are not accessed for these processes.

6.2 IV&V Policy

This NIST control family is not applicable at the time of release of this document.

7 Configuration Management

Per the Medicaid Enterprise Security Policy: The Agency will: (i) establish and maintain baseline configurations and inventories of organizational information systems (including hardware, software, and documentation) throughout the respective system development life cycles; and (ii) establish and enforce security configuration settings for information technology products employed in organizational information systems.

7.1 State Medicaid Policy

Each IV&V Services Vendor team member may be assigned a State laptop. The Agency allows for use of an IV&V Services Vendor -owned laptop, but access to the internal Medicaid network is restricted. The setup and configuration of the MES laptop is governed and managed by the Agency. The Agency also has a Medicaid service desk to assist with issues related to Agency hardware or software, such as email. Support staff can be reached by submitting a ticket to the service desk.

7.2 IV&V Policy

All IV&V Services Vendor's technology assets are maintained by the IV&V Services Vendor's Information Technology (IT) Support department. Software updates and patches are pushed to company-owned machines as they become available and are tested. The IV&V Services Vendor IT Support provides

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information technology support to project team members to minimize downtime due to technical problems. Support staff can be reached through the My Hub NTT DATA portal or at ###-###-####.

8 Contingency Planning

Per the Medicaid Enterprise Security Policy: The Agency will establish, maintain, and effectively implement plans for emergency response, backup operations, and post-disaster recovery for organizational information systems to ensure the availability of critical information resources and continuity of operations in emergency situations.

8.1 State Medicaid Policy

The IV&V Services Vendor will assist the Agency by completing a Resource Management Plan that provides details regarding contingency planning for staff replacement, the IV&V Services Vendor's approach to onboarding and off boarding staff, managing staff changes, and the notification and approval process to be followed if any staff replacements are needed.

8.2 IV&V Policy

This NIST control family is not applicable at the time of release of this document.

9 Identification and Authentication

Per the Medicaid Enterprise Security Policy: The Agency will identify information system users, processes acting on behalf of users, or devices and authenticate (or verify) the identities of those users, processes, or devices, as a prerequisite to allowing access to organizational information systems.

9.1 State Medicaid Policy

IV&V Services Vendor employees are granted State MES credentials to access the Agency's SharePoint sites, network, Learning Management System, and email. Many resources include text messaging based multifactor authentication (MFA). IV&V Services Vendor employees will follow the Agency's protocols for the establishment and maintenance of passwords.

9.2 IV&V Policy

This NIST control family is not applicable at the time of release of this document.

10 Incident Response

Per the Medicaid Enterprise Security Policy: The Agency will: (i) establish an operational incident handling capability for organizational information systems that includes adequate detection, analysis, containment, recovery, and user response activities; and (ii) track, document, and report incidents to appropriate organizational officials and/or authorities.

10.1 State Medicaid Policy

The IV&V Services Vendor will abide by the State IT Policy for Cyber Security Incident Response, shall be aware of what constitutes a cyber-security incident and shall understand incident reporting

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procedures. The IV&V Services Vendor Program Manager will work closely with the Agency concerning incident reporting.

10.2 IV&V Policy

All IV&V Services Vendor team members are subject to corporate incident response policies and procedures.

In the event of a security breach or attack (referred to as an incident), the Program Manager will immediately coordinate with the IV&V Services Vendor Legal and IT Support to identify and contain the incident. IV&V Services Vendor IT Support will work to identify the root cause and ensure measures are in place to prevent a similar incident in the future. In coordination with the IV&V Services Vendor Legal Department and the Medicaid Privacy Office, the appropriate disclosures will be made to stakeholders.

11 Systems Maintenance

Per the Medicaid Enterprise Security Policy: The Agency will: (i) perform periodic and timely maintenance on organizational information systems; and (ii) provide effective controls on the tools, techniques, mechanisms, and personnel used to conduct information system maintenance.

11.1 State Medicaid Policy

The IV&V Services Vendor will not be involved in Systems Maintenance but will be available to consult on best practices.

11.2 IV&V Policy

This NIST control family is not applicable at the time of release of this document.

12 Media Protection

Per the Medicaid Enterprise Security Policy: The Agency will: (i) protect information system media, both paper and digital; (ii) limit access to information on information system media to authorized users; and (iii) sanitize or destroy information system media before disposal or release for reuse.

12.1 State Medicaid Policy and Vendor Policy

The IV&V Services Vendor project team members may need to access and use Personally Identifiable Information (PII), including PHI as part of the services provided to the Agency. In all cases, access to this data is governed by the Agency. In addition to state policies and processes, the IV&V Services Vendor has implemented administrative, technical, and physical controls that safeguard PII, and PHI associated with the project. The IV&V Services Vendor follows a robust set of policies and procedures governing internal security and privacy practices for protecting sensitive information. All IV&V Services Vendor employees are subject to these policies and procedures.

The project team will not use or disclose PHI received from the Agency except as authorized by agreements with the Agency or as required by law. Team members that receive, handle, or use PHI are required to review or use the PHI only to the extent that it is minimally necessary to perform duties for the IV&V Services Vendor. Prior to disclosing any PHI to a third party, team members will determine whether

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disclosure is appropriate and obtain approval from the Privacy Office, Info Security Office, and Data Governance Office who shall verify the identity and authority of the third party.

The IV&V Services Vendor adheres to a set of PII/PHI Protection Policies and Procedures, maintained separately from this Plan but incorporated herein by reference. These policies and procedures are available to project personnel through the IV&V Services Vendor Employee Handbook, Code of Business Conduct, Compliance Training and HIPAA Training.

The IV&V Services Vendor is committed to safeguarding the PHI received by its clients, subsequently, when a client relationship is terminated, the IV&V Services Vendor will destroy such PHI.

13 Physical and Environmental

Per the Medicaid Enterprise Security Policy: The Agency will: (i) limit physical access to information systems, equipment, and the respective operating environments to authorized individuals; (ii) protect the physical plant and support infrastructure for information systems; (iii) provide supporting utilities for information systems; (iv) protect information systems against environmental hazards; and (v) provide appropriate environmental controls in facilities containing information systems.

13.1 State Medicaid Policy and Vendor Policy

Admittance into any Agency facility requires the use of security badges that are issued to all program personnel. Security badges are always to be worn and visible.

14 Planning

Per the Medicaid Enterprise Security Policy: The Agency will develop, document, periodically update, and implement security plans for organizational information systems that describe the security controls in place or planned for the information systems, and the rules of behavior for individuals accessing the information systems.

14.1 State Medicaid Policy

The IV&V Services Vendor will update this plan every six (6) months or as required due to changes in Agency policy. Once the Privacy and Security Plan has been established, the Program Manager is responsible for ensuring that project control is routinely and consistently applied.

14.2 IV&V Policy

This NIST control family is not applicable at the time of release of this document.

15 Personnel Security

Per the Medicaid Enterprise Security Policy: The Agency will: (i) ensure that individuals occupying positions of responsibility within organizations (including third-party service providers) are trustworthy and meet established security criteria for those positions; (ii) ensure that organizational information and information systems are protected during and after personnel actions such as terminations and transfers; and (iii) employ formal sanctions for personnel failing to comply with organizational security policies and procedures.

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15.1 State Medicaid Policy and Vendor Policy

The IV&V Services Vendor understands the importance of stringent background checks that are in line with local practices and requirements by country. These checks help maintain confidentiality, workplace security, and the reputation as a quality vendor by bringing in the best resources.

We require that all IV&V Services Vendor employees pass necessary background checks to work on contracts requiring security clearances or the passing of drug, alcohol, or other Agency-requested screenings. A third-party vendor specializing in background screens processes and certifies the results of these background checks.

The IV&V Services Vendor informs employees of recruitment policies involving background check requirements; notifies the prospective recruits of their rights under the Fair Credit Reporting Act in the United States and other local laws, as applicable by country; and acquires signed disclosures and release forms from the prospective employees before completing these checks.

Typically, the IV&V Services Vendor standard background check includes the following verification processes depending on the role:

- Education
- Employment
- Criminal record

Based on specific client requests from the United States in the past, the IV&V Services Vendor has undertaken the following checks before deploying resources to live processes/projects:

- USA Patriot Act search
- County criminal records search
- Certification verification
- Address verification
- Fraud and Abuse Control Information Systems (FACIS) search
- Credit verification
- Citizenship, as verified by employer through examination of birth certificate or alien registration documents

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16 Risk Assessment

Per the Medicaid Enterprise Security Policy: The Agency will periodically assess the risk to organizational operations (including mission, functions, image, or reputation), organizational assets, and individuals, resulting from the operation of organizational information systems and the associated processing, storage, or transmission of organizational information.

16.1 State Medicaid Policy

The IV&V Services Vendor team will assist the Agency with these assessments as outlined in the duties of the IV&V contract.

16.2 IV&V Policy

This NIST control family is not applicable at the time of release of this document.

17 System and Services Acquisitions

Per the Medicaid Enterprise Security Policy: The Agency will: (i) allocate sufficient resources to adequately protect organizational information systems; (ii) employ system development life cycle processes that incorporate information security considerations; (iii) employ software usage and installation restrictions; and (iv) ensure that third-party providers employ adequate security measures to protect information, applications, and/or services outsourced from the organization.

17.1 State Medicaid Policy and Vendor Policy

All project management information and deliverables, except budget, vendor-specific reports, and Agency data will be stored on the MES SharePoint Project Site.

Project-related PHI will be stored in government owned or managed data centers. The IV&V Services Vendor will not store PHI within the MES SharePoint Project Site. If Cloud solutions are utilized, the cloud service provider (CSP) will be Federal Risk and Authorization Management Program (FedRAMP) certified. FedRAMP is a government-wide program that provides a standardized approach to security assessment, authorization, and continuous monitoring for cloud products and services.

18 System and Communications Protection

Per the Medicaid Enterprise Security Policy: The Agency will: (i) identify, report, and correct information and information system flaws in a timely manner; (ii) provide protection from malicious code at appropriate locations within organizational information systems; and (iii) monitor information system security alerts and advisories and take appropriate actions in response

18.1 State Medicaid Policy

The IV&V Services Vendor will abide by the Agency security, data and privacy policies. The IV&V Services Vendor Program Manager will work closely with the Agency concerning system and communication responses.

18.2 IV&V Policy

The IV&V Services Vendor takes the security of corporate technology assets seriously. All laptops implement full-volume encryption and anti-virus/anti-malware protection. All workstations and servers run endpoint security monitoring agents and are subject to group and organizational unit policy settings configured and applied centrally by corporate Information Technology Support. Laptops are configured with BitLocker endpoint security and theft protection software. Anytime a workstation is left unattended, project team members must lock their computer; workstations automatically lock after a 10-minute period of inactivity; users must re-authenticate with their employee credentials to unlock the computer.

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19 System & Information Integrity

Per the Medicaid Enterprise Security Policy: The Agency will: (i) monitor, control, and protect organizational communications (i.e., information transmitted or received by organizational information systems) at the external boundaries and key internal boundaries of the information systems; and (ii) employ architectural designs, software development techniques, and systems engineering principles that promote effective information security within organizational information systems.

19.1 State Medicaid Policy

This NIST control family is not applicable at the time of release of this document.

19.2 IV&V Policy

All the IV&V Services Vendor Services employees, contractors, business partners, and visitors are responsible for reporting security events or weaknesses. If any IV&V Services Vendor team member, vendor, or business partner becomes aware of an information security incident, they must immediately notify the IV&V Services Vendor Program Manager who will notify the Agency.

The Program Manager will also notify the IV&V Services Vendor Computer Security Incident Response Team (CSIRT) at CSIRT@nttdata.com and the Legal Compliance team at compliance.team@nttdata.com and privacy@nttdata.com. When email is not accessible, report potential security incidents to the following number.

US Toll Free: 1 888-532-6021 (opt #1)

When the Helpdesk numbers are not accessible, contact the following persons about any security incidents:

- Location security personnel
- Security Council member
- Supervisors
- Information Security team
- Respective department head

The contacted persons must report or escalate the incident to CSIRT. All questions and notifications will be treated as sensitive and confidential to the maximum extent possible. The IV&V Services Vendor will fully investigate any suspected violations; however, enough information must be provided to enable the IV&V Services Vendor to conduct investigations. In reporting a violation, employees, subcontractors, and consultants should be able to substantiate and have direct knowledge and/or documented evidence of the violation. Allegations based upon rumor or incorrect information result in unnecessary administrative time and could adversely affect the reputation of innocent people. All IV&V Services Vendor employees, subcontractors, and consultants are required to fully cooperate with an investigation and provide truthful, complete, and accurate information.

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Appendix A. Acronyms/Glossary

For a complete list of Acronyms and Glossary of Terms, please reference the MES Acronyms and Glossary.

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Appendix B. Deliverable Comment Log

Please complete the Deliverable Comment Log as part of the deliverable review. A sample row is found above No. 1. You may leave this sample in your completed log. All reviewers will enter one or more comments. If you have no comments, please specify "No comments" in the Comment field, include your name and your Agency Group (such as IV&V).

Project		**Deliverable No.**		**Deliverable Title**	**Ver No.**	**Submission Date**		**Return Comments by**	**Recommendation**	
MES				Privacy and Security Plan						
Type:** **NC**-*Non-Compliance,* **R-Required,* **Q**-*Question,* ***R*/C**-*Recommendation/Cosmetic* **Recommendation:** **A**-*Accept*, **CA**-*Conditional Approval*, **R**-*Reject*										
	Document Information			**Reviewer(s) Section**				**Vendor Section**		
No.	**Section**	**Page No.**	**Identifier**	**Comment**	**Type***	**Name**	**Agency Group**	**Vendor Resolution**	**Resolution Date**	**Acceptance Date**
	1.1	3	Paragraph 2; First sentence	Enter your comment here for the Section/Page/Identifier. For example: Missing words at the end of the sentence – add words needed to complete it	R	First Last	IV&V	Inserted "*specific text added would go here*" in the paragraph	XX/XX/2020	

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