



Data Management and Analytics (DMA) RFP # Appendix A – Statement of Work

July 31, 2015

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I. Introduction

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

A. Statement of Work Organization

The Statement of Work is organized into five major sections:

- Introduction – Provides background information on DHHS, the existing technical environment, the State’s vision, and broadly, how the DMA fits within the vision.
- Design, Development, and Implementation (DDI) – Addresses the requirements and proposal expectations for the DDI phase of the contract period.
- Initial Operations and Certification – Describes the requirements and proposal expectations for the initial operations phase or warranty period and the Centers for Medicare and Medicaid Services’ (CMS’) certification of the DMA solution.
- Operations – Addresses the ongoing operational requirements for the contract. Contractor is responsible for fulfilling all requirements and meeting the performance measures for the operations phase from the start of operations.
- Turnover – Describes the additional requirements and expectations for the turnover phase of the contract. During this period the contractor is also responsible for fulfilling all requirements and meeting the performance measures for the operations phase.

B. Background Information

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

DHHS is comprised of six divisions:

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

2. Medicaid and Long-Term Care (MLTC)

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

- Integrate physical and behavioral health managed care through at least two and no more than three managed care organizations (MCO) contracts for all 93 counties in Nebraska.

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- Include pharmacy services in the benefit package and the MCO capitation rate, at a date to be determined by MLTC.
- Include, for physical and behavioral health services, the aged, blind, and disabled populations who are dually eligible for Medicare and Medicaid, in a home and community-based services (HCBS) waiver program, or living in an institution, in managed care.

3. Current Technical Environment

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

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

a. DHHS Desktop, Server, and Network Environment

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

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

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

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

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

b. DHHS Applications Environment

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

- Nebraska Family Online Client User System (N-FOCUS) is an integrated client/server system that automates benefit and service delivery and case management for over 30 Nebraska human services programs, including Aid to Dependent Children (ADC), Medicaid, and child welfare. N-FOCUS functions include client/case intake, eligibility determination, case management, service authorization, benefit

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payments, claims processing and payments, provider contract management, and government and management reporting. N-FOCUS interfaces with MMIS and other private, State, and Federal organizations. N-FOCUS was implemented in 1996 and today is operational statewide.

- Nebraska's Children Have A Right To Support (CHARTS) child support system includes case initiation, location, establishment, case management, enforcement, financial management, and government and management reporting. CHARTS interfaces with the existing MMIS and other State and Federal agencies. CHARTS was implemented in 1997 and was Federally-certified in January 2004.
- Nebraska's MMIS technical architecture was developed in 1973. MMIS has been fully operational since 1978 and became Health Information Portability and Accountability Act of 1996 (HIPAA)-compliant in October 2003.

The Nebraska MMIS consists of the following 15 subsystems:

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

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- **SURS** – DHHS contracts with Truven for reports and tools to support the investigation of potential fraud, waste, or abuse (FWA), by Medicaid providers and clients, by analyzing historical data and developing profiles of health care delivery and service utilization patterns.
- **Third Party Liability (TPL)** – This subsystem stores private insurance information for Medicaid clients and their family members, to prevent payment of claims that should be the responsibility of another insurer or to recover payments that were another insurer's responsibility.

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

1. MLTC's Vision

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

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

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

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

2. Medicaid Enterprise Vision and Roadmap

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

MLTC's vision for the future includes using one of the State's MCOs to process the FFS claims. Claims broker services (CBS) is included in the scope of work for the Heritage Health MCO procurement. This DMA procurement will be the central analytical solution in support of the State's enterprise. Figure 1 represents MLTC's vision of the target state.

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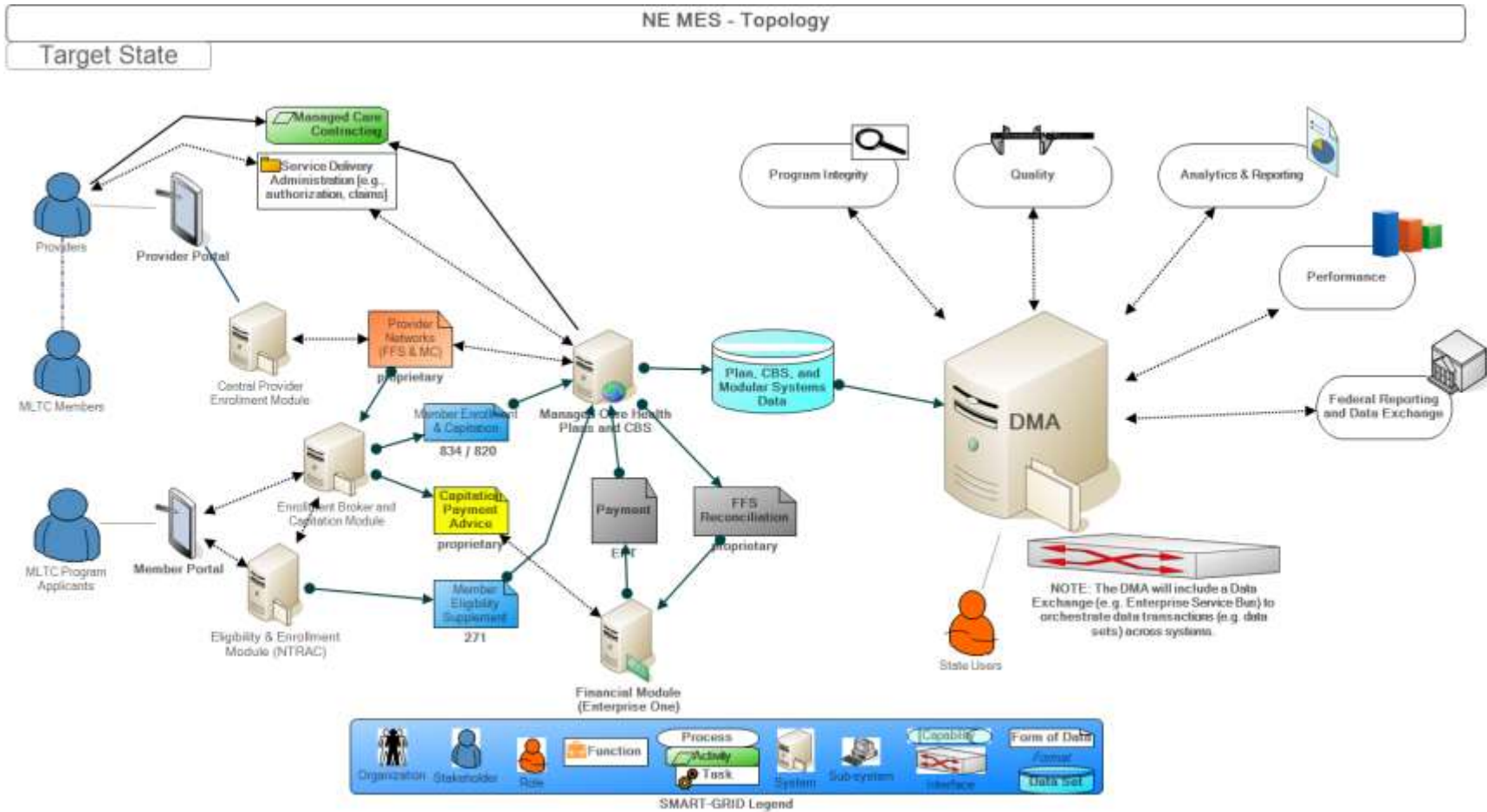


Figure 1 - Medicaid Enterprise Vision

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

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

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

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

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

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

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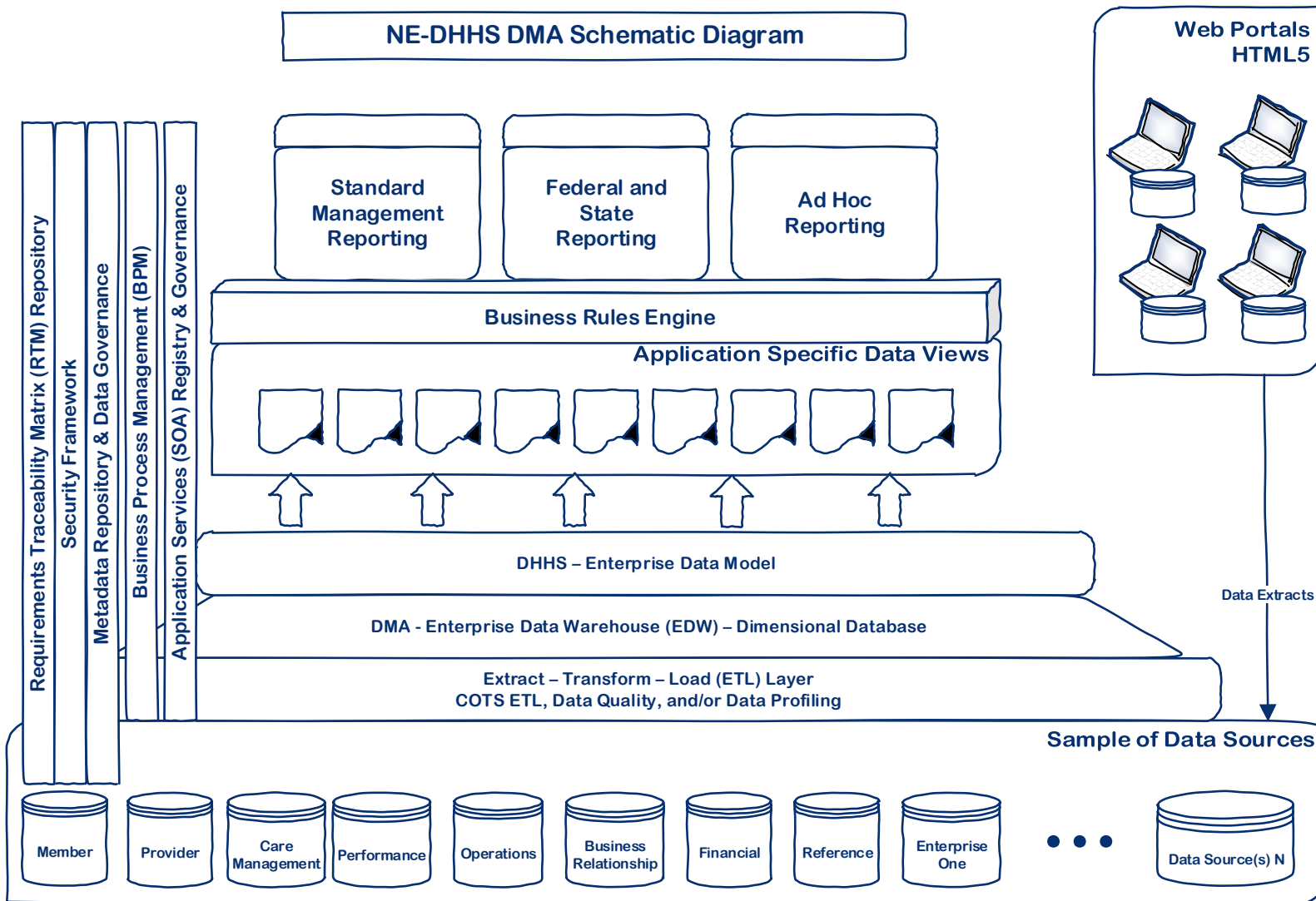


Figure 2 - Data Management and Analytics Vision

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

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

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

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

3. Data Management and Analytics Procurement Scope

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

- Medicaid enterprise data warehouse
 - Medicaid administrative reporting (MAR)
 - Decision support system (DSS)
 - Ad-hoc queries and reporting
 - Federal reporting (CMS 64, 37, etc.)
 - MCO quality (including performance measures) reporting
 - MCO encounter data processing

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- Program integrity
 - SURS
 - Fraud and Abuse Detection System (FADS)
 - Case management
- Reporting and analytics and program integrity staff augmentation

D. Project Governance

1. Overview

a. MMIS Project Governance

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

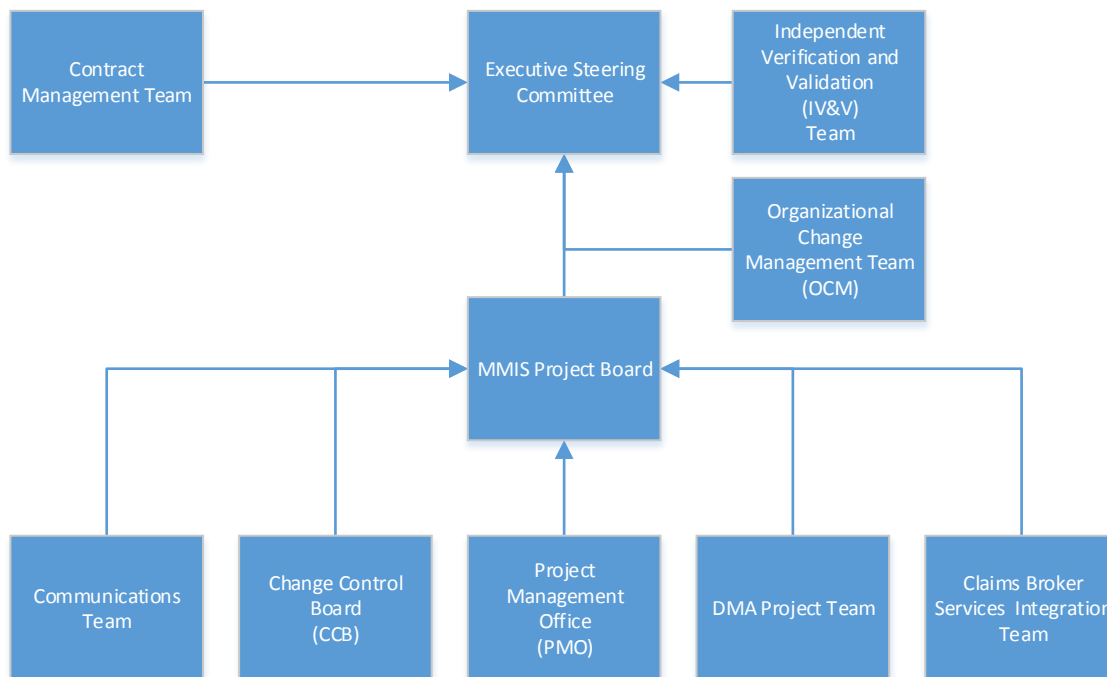


Figure 3 - Sample Governance Model

The anticipated roles and responsibilities of the above entities include:

- **Executive Steering Committee:** Provides oversight on and strategic direction to all projects. Establishes governance structure and makes governance changes when necessary. Approves project scope changes. Ensures staffing is available. Approves operating models for the project(s). Ensures project(s) funding and resources are available. Approves major changes that affect implementation dates. Approves contractor deliverables based on MMIS Project Board recommendations.
- **Contract Management Team:** Ensures that funding is available for the project. Tracks expenditures and overall general accounting for the project and approves deliverable payments. Manages the fund request and approval process to obtain and maintain CMS approval for funding. Monitors expenditures against the budget. Reports to Executive Steering Committee any adverse changes to budget or project expenditures.
- **IV&V Team:** Provides independent assurance that the project is performing properly. Reports findings to the Executive Steering Committee. Is responsible for ensuring that modules are ready for CMS certification and works with State staff and contractors to ensure certification.
- **OCM Team:** Responsible for overall organizational change management across the projects. This includes the restructuring/reassigning of project staff to address the projects' priorities and working with HR as necessary.

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

b. DMA Project Team Governance

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

2. Requirements

The contractor must meet the following requirements:

DDI Phase Overview
Must establish governance within the contractor's organization to deliver the procurement scope.
Must participate in the MMIS Replacement Project governance as required by the State.

3. Proposal Expectations

The contractor must:

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

II. Design, Development, and Implementation (DDI)

A. Phase Overview

1. Overview

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

During the DDI phase, the contractor is expected to implement a solution and services that meet the requirements of the operational phase of the contract. The State's contract with its current data warehouse contractor will expire on September 30, 2018. The DMA solution must be in place prior to that date. The State is open to a phased approach to meet that date as well as for new functionality delivered after September 30, 2018.

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

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

2. Requirements

The contractor must meet the following requirements:

DDI Phase Overview
Must develop a realistic and achievable implementation plan with contingencies throughout rather than assuming the best possible outcome will always occur.
Must, to the extent possible, create a plan that favors a phased implementation strategy over a single implementation strategy.
Must provide organizational change management support to the State throughout the DDI phase to prepare the State staff for major operational changes.
Must implement replacement functionality for the existing data warehouse by September 30, 2018.

3. Proposal Expectations

The contractor must include the following in the proposal:

- Discuss the contractor’s plan and approach for DDI that will result in a successful implementation of the required solutions and services.
- Describe the contractor’s approach to organizational change management and preparing users to embrace the change.

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

1. Overview

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

2. Requirements

The contractor must meet the following minimum requirements:

Project Management Life Cycle and Software Development Life Cycle
Must manage all aspects of the project that affect cost, schedule, performance (scope and quality), risk/issues/opportunities, and resources that are under its control.
Must develop and put into practice a holistic project management plan or series of plans and associated integration(s), based on its proposed project management and SDLC methodologies.
Must seek, and obtain approval for, a project schedule baseline for each plan or series of plans it develops based on its proposed project management and SDLC methodologies.
Must provide updated and compatible weekly extracts (or any other interval requested by the State) of its plan(s) to the State for import into Microsoft Project or CA Clarity. Extracts must include, at a minimum, tasks, start dates, completion dates, resource assignments, levels of effort, durations, dependencies, constraints, percent completion, milestones, variances from baselines, predecessors, and successors.

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Project Management Life Cycle and Software Development Life Cycle
Must describe how it intends to manage and control updates to its project plan(s) and baselines, including the frequency of updates.
Must employ a proven project management approach promoting the development of a strong working relationship and facilitating open and timely collaboration between the State, the contractor, other contractors, and project stakeholders.
Must employ a proven project management approach ensuring the transparency of management actions and project results so that all parties remain properly informed.
Must lead coordination with all other organizations whose participation is necessary for project success. The State will reasonably support the contractor's coordination efforts.
Must prepare and submit the integrated master schedule (IMS) that addresses each phase of the PMLC and SDLC and must identify all integration points between all contractors and the State including interfaces, inputs, and outputs that the contractor requires from other contractors, the State, or other entities.
Within the IMS, must at a minimum decompose all tasks starting within a 120-day window into the future. This 120-day view should be maintained from month-to-month to provide an appropriate level of visibility for 120 days forward. Any task exceeding ten days in duration must be broken down to include subtasks detailing an appropriate level of work effort.
Must submit for review and approval by the State all changes to the approved project management plans and IMS.
Must use a commercial, off-the-shelf project planning software for building and maintaining the IMS. However, if it uses software other than Microsoft Project, Project Server, or Clarity, it must provide training for State project staff, provide a reasonable number of licenses for the State's designated use, and ensure compatibility with the State's computers.
Must provide all PMLC and SDLC deliverables included in the contractor's proposed deliverable catalog in conformance with State provided templates, instructions, and procedures. Deliverables must be of the quality of provided examples used on previous projects. Any templates or forms developed during the course of the project must be submitted for review and approval by the State prior to their use.
Must perform work in accordance with the approved IMS timeframes.
Must complete and maintain a requirements traceability matrix.
Must provide a State approved Data Management Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.
Must provide a State approved Data Governance Plan that includes approach, strategy, methodology, process, tools, resourcing, quality and contingency aspects.
Must provide a State approved Master Data Management Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects. The plan must address integration with other State toolsets and support the State's standardization and processes.
Must provide a State approved Data Modeling Plan that includes strategy, methodology, process, tools, resourcing, quality and contingency aspects.
Must provide, implement, and maintain a State approved Data Integration Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.
Must provide a State approved Data Sharing Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.
Must provide, implement, and maintain a State approved Data Transformation Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.
Must provide, implement, and maintain a State approved DMA Audit and Control Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.

3. Proposal Expectations

To understand and appropriately evaluate the contractor's approach and discipline in infusing that approach within the contractor's organization, DHHS' expectation is that the contractor must:

- Describe the contractor's proven methodology, approach, and process for PMLC and SDLC.
- Describe how the contractor's project management approach works within an integrated PMO model that may consist of contractors, State staff, IV&V representatives, as well as other contractors currently supporting State efforts.
- Describe the standard(s) the contractor's proposed methodologies are based upon, or consistent with, and how they are integrated into the contractor's project management methodology.

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- Describe how the contractor’s project management, quality management, and software development methodologies are designed to work together.
- Discuss and include any additional proposed project management and SDLC deliverables in the deliverables catalog based on the contractor’s project management and SDLC methodology.
- Submit the initial IMS.
- Provide the contractor’s project management and SDLC standard deliverable templates including instructions and procedures for completing each type of deliverable.
- Provide examples of the proposed project management and SDLC standard deliverables used in previous projects.
- Describe how the contractor’s project management approach can adapt to existing or newly defined State governance models.

C. Performance and Status Reporting

1. Status Reporting

a. Overview

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

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

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

b. Requirements

The Contractor must meet the following requirements:

Status Reporting
Must prepare and submit a weekly status report.
Must prepare and submit a monthly status report.
Must prepare and submit a quarterly status report.
The contractor must provide weekly (or any other interval requested by the State) baseline project plan-based reports that demonstrate: <ol style="list-style-type: none"> 1. Tasks not started on time. 2. Tasks started on time but not completed on time. 3. Upcoming tasks for the next 30 days (or any other interval requested by the State). 4. Upcoming tasks for the next 30 days that are to be performed by an entity other than the contractor,

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Status Reporting
which includes duration, start date, end date, and the contractor’s estimate of resource hours needed to complete each task.
Must prepare and submit other status documents as necessary to support the DDI progress.

c. Proposal Expectations

The State’s expectation is that the contractor must:

- Describe the contractor’s process for capturing detailed status on project activities (i.e., scheduled tasks, risks, issues, staffing, communications, etc.) at a detailed level and reporting the information as needed based on the reporting audience.
- Describe the contractor’s methods for determining and reporting overall project status (i.e., determining whether a project is red, yellow, or green, and providing defined criteria as to what constitutes each type of status).
- Provide the contractor’s status report templates, including instructions and procedures for completing the templates.
- Provide examples of similar status reports used in previous projects.

2. Performance

a. Overview

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

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

Penalties assessed for late deliverables may be regained by the contractor upon successful completion and DHHS approval of the contractor’s CAP and return of the project’s IMS to an on-time status. (Note: Change requests that extend the schedule are not applicable to regaining penalties). Penalties taken from the contractor’s payment are not damages and do not preclude the State from assessing State-incurred actual damages resulting from the contractor’s performance deficiencies.

In the event of a dispute concerning responsibility for the contractor’s failure to meet any performance requirements, the State may use the services of an independent party to determine where responsibility rests. If it is determined that no fault lies with the contractor, any penalty will be waived. Otherwise, the contractor must be penalized funds for both the missed requirement and the cost of the analysis from its deliverable invoice.

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

b. Requirements

The contractor must meet the following requirements:

Performance
Must deduct any State-required penalties from the contractor’s deliverable invoices.
Must develop and implement CAPs for State approval as requested by the State within 10 business days of the request.
Must submit all required evidence to the State for approval of completed CAPs.
Must report on the status of corrective actions in weekly status reports until the issue that prompted the need for the CAP is resolved.

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c. Proposal Expectations

The contractor must:

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

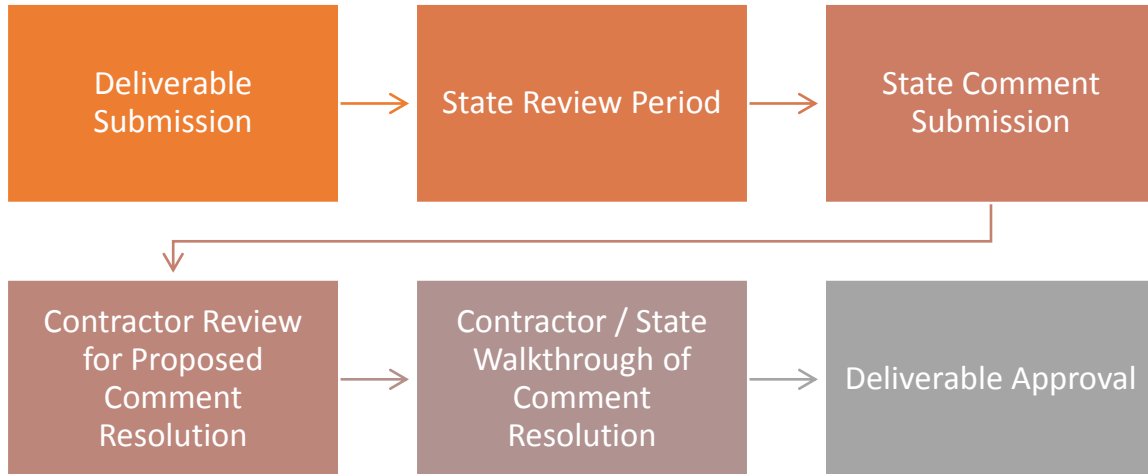
D. Deliverables

1. Overview

The State has identified a minimum set of deliverables for the DDI phase. Contractors must also propose their methodology, approach for DDI and the Contractor’s deliverables associated with their approach. The State expects documentation deliverables that include environments, and tested and working products.

a. Review and Approval

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



Process Step	Details
Deliverable Submission	The Contractor submits the deliverable to the State. In instances with environments and working product, the deliverable submission may be an attestation that the deliverable is complete and ready for review. For non-documentation deliverables, the state will determine the review approach. The contractor must provide any additional supporting details as required by the state.
State Review Period	The State will review the deliverable within the time period agreed to within the final deliverable catalog to provide comment. In instances where a deliverable is not documentation, the State is open to contractor proposed review methods and approaches to take place within the proposed time

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

2. Requirements

The contractor must meet the following requirements:

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

3. Proposal Expectations

a. Catalog

Complete the deliverable catalog provided in Attachment A for each deliverable the contractor proposes to provide in the DDI phase. Instructions for completing the Catalog are in the table below.

Column Heading	Instruction
Payment Deliverable	The State has identified which of the minimum required deliverables are payment deliverables. Those additional deliverables proposed by the Contractor must be payment deliverables.
IMS WBS ID	Provide the Work Breakdown Structure ID from the proposed IMS in this column.
Related Proposal Section	Include the section numbering of the proposal section in which the deliverable is referenced and described.
Deliverable Name	Provide the name of the deliverable. If the name of the deliverable is abbreviated in the IMS, please provide the IMS abbreviated task name in parenthesis. The deliverable name should match the deliverable name used in the contractor's proposal sections.
Deliverable Description	Provide a summary description of the deliverable
Deliverable Type	Provide the type of deliverable in the catalog. The options for type are: <ul style="list-style-type: none"> Document

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Column Heading	Instruction
	<ul style="list-style-type: none"> • Tested Product • Environment • Other
Deliverable Format	Describe the format in which the deliverable will be submitted. I.e., if the deliverable is a document, will it be provided in pdf, Visio, Word, Excel, etc.
Frequency	Include the frequency of submission for the deliverable: <ul style="list-style-type: none"> • Singular – Deliverable has a singular point-in-time submission and is not intended to be maintained with frequency. For example, the DDI test plan may be singular depending on the contractor's approach. • Weekly – Deliverable is regularly updated and provided on a weekly basis. An example would include a weekly status report. • Monthly - Deliverable is regularly updated and provided on a monthly basis. An example would include a monthly status report. • Quarterly - Deliverable is regularly updated and provided on a quarterly basis. An example would include a quarterly status report. • Yearly – Deliverable is updated on an annual basis. An example would include an annual business plan. • Change request – Deliverable is generally static unless a change request impacts the deliverable. An example would include a user manual.
Deliverable Size	The purpose for this column is to provide the State with understanding of the review effort that will be necessary for a deliverable. Provide the expected size of the deliverable. If the deliverable is a document, include the expected page volume. If the deliverable is tested product, provide the number of screens, rules, etc. If the deliverable is an Environment, the column is not applicable.
Deliverable Review Time	Provide the contractor's proposed review time period for the State's initial review. During the evaluation, the State will review the proposed review time for reasonableness.
Review Method / Contractor Support	Provide the contractor's proposed review method for the deliverable. Identify any contractor proposed support for the review process (i.e. walkthrough, demonstration, etc.)

For all documentation deliverables, the contractor must include the following in the designated sections of the contractor's proposal:

- Standard deliverable templates and instructions and / or procedures followed by the contractor's team for completion of the deliverable.
- Provide examples of the proposed deliverables used by previous projects.

For non-documentation deliverables, provide a clear explanation of how the contractor will provide the deliverable in a manner in which the state can review, comment upon, and approve the deliverable. Include examples to the extent possible.

E. Quality Assurance and Monitoring

1. Overview

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

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A collaborative approach to quality will:

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

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

2. Requirements

Contractor must meet the following requirements:

Quality Assurance and Monitoring
Must develop and put into practice a comprehensive quality assurance plan or series of plans to infuse quality throughout the project lifecycle and monitor, test, and audit the projects products prior to delivery.
Must manage and perform all aspects of quality assurance and monitoring necessary to meet the requirements of this contract.
Must develop documented quality assurance procedures.
Must report within the weekly status report identified deficiencies with weekly updates until deficiencies are corrected.
Must develop, submit, and put into practice a comprehensive test plan to ensure that the provided solution effectively meets the requirements.
Must provide and follow a rating system for defects.

3. Proposal Expectations

The State considers the use of recognized quality assurance methodologies to be critical to the success of the project. The State expects that the Contractor has an established approach for quality assurance and has integrated the approach into the organization’s culture across projects. Therefore the State has not dictated a specific methodology or approach to allow the Contractor to use its approach for successful implementations. To understand and appropriately evaluate the Contractor’s approach and discipline in infusing that approach within the culture of the Contractor’s organization, the State’s expectation is that the Contractor must:

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

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F. Change Management

1. Overview

Change Management addresses the process that the contractor must take to manage changes within the project. For this project, a change is anything that changes the project’s scope, schedule or budget. The State has included a modification pool within the contract to pay for changes. However, the State will only pay for changes that meet one of the following criteria:

1. The requested change is a new requirement not contained within the RFP requirements.
2. The State requests a change to a design after the design has been approved, and the approved design meets the RFP requirements.

All change requests meeting the above criteria will require approval of the State’s designated Project Director. The Contractor must complete any analysis required to support the change request. Upon receipt of the analysis the Project Director will determine whether the change request meets the criteria for additional payment, and if the State will pay for the change request through time and materials or a fixed price.

If the Project Director approves the need for a change request, but finds that the change request does not meet the criteria for additional State payment to the Contractor or disagrees with the amount of the additional charges, the Contractor is expected to begin work on the change request so that the implementation of the change request is not delayed. If the Project Director and contractor cannot reach agreement on any additional payment due to the Contractor, the Contractor may dispute the decision pursuant to the contract’s dispute clauses. Costs associated with the contractor meeting the requirements of the change management process are included in the base contract and are not subject to additional charges for the modification pool.

All changes not impacting the modification pool will be governed at the most appropriate level based on the impact of the change request. The approval authority indicated below can approve said changes.

Level	Description	Approval Authority
Contract Change Control	Changes that only impact the contracted services and do not change any interaction with entities or systems external to the contract.	State Designated Contract Manager
Project Change Control	Changes that only impact entities participating in the project. The change has no impact on external entities not involved in the project.	State Designated Project Manager
Organizational Change Control	Changes that impact entities not participating on the project.	State Designated Project Director

2. Requirements

The contractor must meet the following requirements:

Change Management
Must establish a process to track and manage change requests within the performance of the contract. The process must accommodate escalation and disposition of change requests escalated to the project or organizational change control approval levels.
Must implement change requests in a manner with the least possible impact to the project timeframes and budget while maintaining a high quality delivery.
Must document change requests utilizing a format and process approved by the State.
At the request of the State, the contractor must analyze change requests and submit the results of analysis to the State. At a minimum, the estimate and results must include estimates for effort by resource category by work package, cost, schedule impact, impacts to the system, impacted external entities and interface partners, and impacted business operations.
Must monitor changes in federal and state laws and rules for impacts to the project.
Must support discussions and meetings on the disposition of change requests with the necessary team members to enable decision making.
Must submit weekly detailed accounting for change requests to the State’s satisfaction of the work performed by each individual billing time to the change request.

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Change Management
Must submit a Change Management Plan detailing the change management process and approach along with a visual aid of the overall process and approach.

3. Proposal Expectations

The State expects the Contractor to propose an established approach for change management and has integrated the approach into the organization’s culture across projects. To understand and appropriately evaluate the contractor’s approach and discipline in infusing that approach within the culture of the contractor’s organization, the State’s expectation is that the contractor must:

- Describe the contractor’s methodology, approach, and processes for change management and integration of a change requests in various stages of the DDI.
- Describe the types of change requests historically received by the contractor and the typical resource mix (percent of hours) by resource category contained in the contractor’s pricing proposal used to complete the change requests.
- Describe with what standard(s) the contractor’s proposed methodologies are based upon or consistent with and how they are integrated into a project management methodology.
- Include the contractor’s proposed change management deliverables in the deliverables catalog based on the contractor’s project management and SDLC methodology.
- Provide the contractor’s change management standard deliverable templates including instructions and procedures for completing the deliverable.
- Provide examples of the proposed change management standard deliverables successfully used by the contractor’s previous projects.

G. Data Conversion and Data Load

1. Overview

Data Conversion is a critical step in the implementation process. To accomplish the vision for the Medicaid Enterprise Data Warehouse, the State anticipates that the Contractor will convert data from the existing data warehouse and perform substantial initial data loads from legacy operational systems. The existing data warehouse does not contain all of the data necessary to meet the requirements of the contract.

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

2. Requirements

The Contractor must meet the following requirements:

DDI Data Conversion and Data Load
Must submit a Data Conversion and Load Plan that includes strategy, methodology, process, tools, quality and contingency aspects.
Must develop Data Conversion specifications and mappings for all data sets to be converted and loaded.
Must plan, test, execute and manage the Data Conversion process and data load from all source systems.
Must develop and provide iterative and final data conversion execution packages according to plan that includes appropriate information on the process, methods, logic, data sets converted, quality findings, and test results.
Must convert and load the appropriate data from all State systems necessary to support the requirements of the contract.

3. Proposal Expectations

The State seeks to understand the Contractors overall approach, assumptions, and processes that will be used in the data conversion and data load. The State expects the Contractor to include the following in their proposal:

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

H. Environments

1. Overview

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

2. Requirements

Contractor must meet the following requirements:

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

3. Proposal Expectations

The State expects the Contractor to include the following in their proposal:

- Describe the proposed environments and plan for connectivity. The description must at a minimum address specifications of the number of units and type of hardware and software product, software licensing models, system component interdependencies, versions, upgrade methodology, and privacy and security.
- Describe the configuration options and controls in place for updating environments and promotion of product versions.
- Provide examples of an infrastructure and architecture plan used on previous projects. The State recognizes that the examples may have a different naming convention.
- Provide an overview of the Contractor's plan for connectivity between the Contractor's facilities and the State offices.
- Update the Deliverable Catalog with the names and other required details for each environment proposed.
- Include all costs and details for the environments in the cost proposal.

I. Disaster Recovery

1. Overview

The Contractor must provide a Disaster Recovery Plan for the DDI phase of this project. Disaster Recovery must be planned for and implemented early in the DDI phase. For purposes of this RFP, "disaster" means an occurrence(s)

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of any kind that adversely affects, in whole or in part, the error-free and continuous operation of the DDI System (the system being developed during the DDI phase) and Supporting Services, and/or affects the performance, functionality, efficiency, accessibility, reliability, and security of the DDI System. Disaster events may include natural disasters, human error, computer virus, or a malfunctioning of the hardware or electrical supply.

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

2. Disaster Recovery Requirements

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

3. Proposal Expectations

The State expects the contractor has an established approach for Disaster Recovery that can be integrated into the State's Disaster Recovery Plan. Therefore the State has not dictated a specific methodology or approach to allow the Contractor to use its approach. Information in this regard will be evaluated and scored accordingly. Therefore, the State expects the Contractor to include the following in their proposal:

- Describe the Contractor's methodology and approach to implementation of the Disaster Recovery Plan that clearly articulates the activities of the process including the various levels of criticality, failover and redundancy of key system aspects, alternate processing methods, data center specifications, testing, maintenance, and staffing.
- Provide the contractor's standard Disaster Recovery deliverable templates including instructions and procedures for completing the deliverable.
- Provide examples of the proposed Disaster Recovery Plan standard deliverables used by previous projects.
- Propose the contractor's planned disaster recovery timeframes based on kinds of disasters.
- Description of approach, method, and samples of root cause analysis reporting for unscheduled downtime.
- Provide clearly defined roles, responsibilities, processes, and procedures.

J. Facility

1. Overview

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

The Contractor is responsible for all other facility needs for hosting of environments and contractor staff whose work does not require regular state interaction. Contractors must not shift facility cost from the contractor's proposal by proposing positions that do not require regular state interaction be housed in the state provided facility.

2. Requirements

The contractor must meet the following requirements:

DDI Facility
Must provide secure facilities for hosting of all environments within the continental United States.
Must demonstrate how only necessary staff (those who require regular state interaction) will be selected and assigned to state provided facility
Must have plans in place at contractor provided facilities to minimize project work impact due to outages.
Must have controlled access to all contractor facilities in compliance with privacy and security requirements.

3. Proposal Expectations

The Contractors' proposal must:

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

K. Organizational Staffing

1. Overview

The DDI Organizational Staffing begins at project startup. The State expects the Contractor to provide highly qualified and experienced personnel. Appropriate, skilled staff will reduce project risks and this section will be scored accordingly.

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

The State requires the following key positions to be identified in the proposal:

Key Position	Qualifications	Start Date	Special Requirements
Project/Account Manager	<ul style="list-style-type: none"> • A minimum of five (5) years of experience in managing or in a key management position for a large-scale healthcare IT development project that encompasses the full system development life cycle from initiation through post implementation; and • Previous responsibility for managing subcontractor resources, if subcontractors are included as part of this proposal. • Previous experience following a standard PM methodology and in using various project management tools in developing project plans, delivering tasks, and tracking timelines and resources. • PMI or generally equivalent certification. 	Contract signing date	<p>Must not serve in any other position.</p> <p>Must be 100 percent allocated to the Project through Implementation.</p> <p>Must be onsite 90% of the time in Lincoln, Nebraska.</p>
Privacy and Security Manager	<ul style="list-style-type: none"> • A minimum of three (3) years of experience managing Privacy and Security for healthcare. • Demonstrated experience and knowledge of Privacy and Security standards and best practices regarding large-scale and enterprise-level projects. • Certification in privacy and security from a nationally recognized standards organization. 	Contract signing date	
DDI Manager	<ul style="list-style-type: none"> • A minimum of five (5) years experience implementing large-scale health care solutions within environments similar to that of the DMA. • Previous experience in the contractor’s proposed methodology and in using various project management tools in developing project plans, delivering tasks, and tracking timelines and resources. 	Contract signing date	<p>Must not serve in any other position.</p> <p>Must be 100 percent allocated to the Project through Implementation.</p> <p>Must be onsite 90% of the time in Lincoln, Nebraska.</p>

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Key Position	Qualifications	Start Date	Special Requirements
	<ul style="list-style-type: none"> PMI certification is preferred. 		
Technical Solution Manager	<ul style="list-style-type: none"> Possess a minimum of five (5) years experience implementing large-scale health care solutions within environments similar to that of the DMA. Possess expert knowledge of the Contractor's solution, having implemented the solution in no less than one (1) environment at least as complex as the DMA. Possess demonstrated experience implementing data warehouse solutions within an integrated environment, employing SOA and intelligent business reporting. 	Contract signing date	<p>Must not serve in any other position.</p> <p>Must be 100 percent allocated to the Project through Implementation.</p> <p>Must be onsite 90% of the time in Lincoln, Nebraska.</p>
Business Solution Manager	<ul style="list-style-type: none"> Possess a minimum of five (5) years experience implementing large-scale health care solutions within environments similar to that of the DMA Possess three (3) years experience extracting and documenting business rules Possess a working knowledge of business process modeling Possess expert knowledge of the Contractor's solution, having implemented the solution in no less than one (1) environment at least as complex as the DMA Possess expert knowledge of national policy and standards that impact the Medicaid environment. 	Contract signing date	<p>Must not serve in any other position.</p> <p>Must be 100 percent allocated to the Project through Implementation.</p> <p>Must be onsite 90% of the time in Lincoln, Nebraska.</p>
Testing Manager	<ul style="list-style-type: none"> Possess a minimum of five (5) years experience developing and executing testing programs for solutions similar to Contractor's solution for the DMA Possess a working knowledge of the Contractor's proposed solution for the DMA. Possess a working knowledge of business processes associated with the DMA. 	After contract signing date and according to the Contractor's baseline project plan	Must be on-site any time that on-site testing activities are being performed.
Documentation and Training Manager	<ul style="list-style-type: none"> Possess a minimum of five (5) years experience developing and executing training programs for solutions similar to Contractor's solution for the DMA Possess a working knowledge of the Contractor's proposed solution for the DMA Possess a working knowledge of business processes associated with the DMA. 	Contract signing date	Must be onsite for all training activities.
Interface/Data Manager	<ul style="list-style-type: none"> Possess a minimum of three (3) years experience developing and deploying interfaces for systems similar to 	After contract signing and according to the	Must be on-site during design sessions related to interfaces or data

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Key Position	Qualifications	Start Date	Special Requirements
	<p>contractor’s solution</p> <ul style="list-style-type: none"> • Possess a minimum of five (5) years experience performing data warehouse, data cleansing, or data conversion activities for systems similar to the contractor’s solution • Possess a minimum of three (3) years experience managing a data conversion or interface design project similar to the needs of the DMA • Possess excellent communications skills, written and oral • A Bachelor’s Degree in an information technology or a related field is preferred but not required. 	Contractor’s baseline project plan	<p>requirements.</p> <p>Must be on-site for system readiness testing and implementation activities.</p>

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

Key personnel must not be reassigned within the Contractor’s organization without prior State approval. With respect to all persisting vacancies of Key Personnel during the DDI phase, the State must receive a credit equal to the full-time labor cost including the Contractor’s overhead and margin costs of the unavailable individual, prorated for each day or partial day until the position is satisfactorily filled. For vacancies due to any reason other than dismissal by the state, of the applicable individual, the credit must begin to accrue at the time the vacancy occurs. For vacancies that occur due to the State’s request, the credit must begin to accrue on the sixtieth (60th) business day after the vacancy occurs. Key personnel must be replaced with individuals with comparable experience and qualifications as those submitted by the Contractor in the proposal pending state approval. The Contractor is required to submit resumes and allow the state to interview applicants as part of the approval process.

The State may require the Contractor to relieve any of the Contractor’s personnel from any further work under the Contract if in its sole discretion (i) the individual does not perform at the applicable skill level specified in the Contractor’s Technical Proposal or elsewhere in the Contract, (ii) the individual does not deliver work that conforms to the performance standards stated in the RFP, the Contractor’s Technical Proposal, and elsewhere in the Contract, or (iii) the person exhibits personal or professional conflicts with State personnel that hinder effective progress on the project. Upon being notified in writing by the State Contract Administrator that a member of the Contractor’s personnel is unacceptable, the Contractor must immediately remove that individual from any assignments on the Contract. In the event that a member of the Contractor’s personnel is removed pursuant to this paragraph, the process set out above for submission of resumes, interviews, and approval must apply as if the person removed were among the Key Personnel.

The State requires the Contractor to provide an interim resource within five business days for any key personnel vacancies regardless of the reason for the vacancy.

2. Requirements

Contractor must meet the following requirements:

DDI Organizational Staffing
Must provide criminal background initial investigations on all personnel prior to project assignment and follow-up

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DDI Organizational Staffing
investigations every five years.
Must submit a monthly updated resource utilization matrix that identifies resource use expectations by month (i.e. hours by person, throughout the DDI phase including actuals vs planned for previous months).
Must provide a project manager as a single dedicated point of contact to interact with the State.
Must ensure that customer facing staff are within Lincoln, Nebraska 90% of the time during the implementation.
Must maintain an Organizational Chart and project contact list.
Must acquire State approval for key staff and key staff replacements.
Must provide and retain a team and sufficient staff in the right mix, inclusive of technical (e.g. systems analysts, technicians) and non-technical (e.g. clerical, business analysts) resources to complete the services and meet the requirements specified in this contract.
Must not reassign or replace key personnel without prior approval from the State.

3. Proposal Expectations

The contractor must include the following in their proposal:

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

L. Documentation

1. Overview

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

2. Requirements

Contractor must meet the following requirements:

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

3. Proposal Expectations

The contractor must:

- Describe how the Contractor will meet the requirements of this section.
- Describe the Contractor's repository tool and structure for managing the access and updates to project documentation.
- Provide a description of the features of the repository tool.
- Provide the Contractor's standard style guide and template for documentation.
- Include sample agenda and minutes from a previous project.

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- Provide examples of training tools and system documentation.
- Describe how effective documentation has supported previous, similar efforts leading up to a certification process.

M. User Support

1. Overview

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

2. Requirements

Contractor must meet the following requirements:

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

3. Proposal Expectations

The contractor must include the following in the proposal:

- Describe the methodology, approach, and process for user support during DDI.

N. System Readiness

1. Overview

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

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

2. Requirements

Contractor must meet the following requirements:

System Readiness
Prior to the start of system readiness, must submit a signed attestation to the State that the system: <ul style="list-style-type: none"> • Meets all required functionality. • Defects requiring correction for production identified in previous testing have been resolved. • Environment has been set-up to mirror the planned production environment. • Reference tables have been configured as planned for the production environment. • A statistically valid subset of historic data from all source systems has been converted through the planned conversion logic. • Security roles have been established as planned for in the production environment. • Interfaces have been confirmed as being functional.
Must perform system readiness testing of all system functionality.
Must provide a comprehensive System Readiness Test Plan.

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System Readiness
Must conduct end-to-end testing with interface partners both external and internal
Must include defect status information in the weekly status report.
Must provide documented results and conduct walkthroughs of test results.
Must receive State approval to entering and exiting system readiness.
Must perform all set-up, preparation, and result documentation activities for testing regardless of whether the Contractor or State designee is performing the test case.

3. Proposal Expectations

It is expected that individual contractors will have established and proven System Readiness plans within their organizations to successfully complete this stage of the solution. Therefore, the Department the contractor must:

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

O. Operational Readiness

1. Overview

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

- training internal and external users
- completion and testing of operating procedures
- facilities
- security
- disaster recovery
- hiring and training of operational staff

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

Operational Readiness is separate from system readiness testing.

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

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

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

2. Requirements

Contractor must meet the following requirements:

Operational Readiness
Must develop and provide an Operational Readiness Plan to the State for approval that is effective for both new and experienced end users of the system.
Must develop and provide Business and Technical Operating Procedures to the State for approval.
Must submit a signed certification to the State of operational readiness including results of operational readiness

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Operational Readiness
checklists and testing.
Must provide training and training materials for all operational aspects of the solution to all end users, internal and external.
Must test and certify that all components are ready for operations.
Must perform, monitor, and document operational testing results.
Must correct identified problems, failures, incompatibilities, and errors identified during operational readiness. Modifications must be documented, and the contractor must conduct another review of the readiness.
Must provide and walkthrough an Operational Readiness Report.
Must receive State approval prior to entering and exiting operational readiness.

3. Proposal Expectations

It is expected that contractors will have established and proven Operational Readiness Plans within their organizations to successfully complete this stage of the solution. The contractor must:

- Describe methods, approaches and processes for the Operational Readiness Plan.
- Provide a description of the approach to training of external and internal end users.
- Describe the contractor’s process and tools for defect management including defect categorization (.e.g. severity, priority, etc.), defect release management, and retesting as validation of system readiness.
- Describe methods, approaches and processes for training.
- Provide the contractor’s Operational Readiness standard deliverable templates including instructions and procedures for completing the deliverable.
- Provide examples of the proposed Operational Readiness standard deliverables used on previous projects.
- Describe the division of responsibilities between the Contractor, the State and the IV&V Contractor.

P. Privacy and Security

1. Overview

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

2. Requirements

Contractor must meet the following requirements:

DDI Privacy and Security
Must develop a Privacy and Security Plan. This plan must include both physical and network security.
Must Maintain a comprehensive audit trail of systematic and physical access to PHI.
Must comply with all security and privacy laws, regulations, and policies, including the Health Insurance Portability and Accountability Act (HIPAA), and related breach notification laws and directives.
Must inform the state of any potential, suspected, or confirmed breach immediately upon contractor becoming aware.
Must provide initial and ongoing privacy and security training to all employees and contract personnel assigned to the project prior to providing access to PHI.
Must take all reasonable industry recognized methods to secure the system from un-authorized access.
Must de-identify data for testing purposes.
Must provide a third party cyber security assessment to execute a security audit prior to go-live. The selected third party assessor must work with the State Office of Information Security and provide reports to the DHHS IT Security Administrator.

3. Proposal Expectations

The State expects that individual contractors will have proven organizational standards in place for Privacy and Security. Plans and methodologies will be evaluated and scored according to how well they fall in line with State’s needs and expectations. Those with unique and innovative features, and additional advantages/benefits will be

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seen as reducing project risk and will be scored accordingly. Therefore, the Contractor must include the following in their proposal:

- Description of the proposed strategy, methodology and capabilities for systems, operational and physical security.
- Description of the approach, strategy and methodology for the Privacy and Security Plan including review and update procedures.
- Sample of a Privacy and Security Plan from a previous project
- Privacy and Security Plan template with instructions and procedures for completing the template.
- Description of how workforce privacy and security awareness is supported
- Description of how State and Federal privacy and security requirements are integrated into the solution and include proposed security for data transmissions.
- Description of the methodology, approach and process used to maintain PHI.
- Description of security and privacy compliance testing.
- Listing of security tools, hardware and software to be used and how they integrate to form a comprehensive security architecture.
- Description of the encryption schemes, how those schemes can be extended into the system architecture, and the plan to incorporate greater encryption requirements in the future.
- Description of how data access and data security is managed and what structures, protocols and tools are used to maintain controlled access, flexibility and efficiency.
- Description of the approach to monitoring attempted security violations and the actions that will be taken when security violation attempts are made as well as breaches.
- List of all security breaches, penalties and recovery efforts on previous projects.

Q. Implementation and Contingency

1. Overview

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

2. Requirements

The contractor must meet the following requirements:

Implementation and Contingency
Must develop an implementation and contingency plan documenting: <ul style="list-style-type: none"> • The Contractor’s plan and milestones for implementation of the approved system and operations as applicable. • Risks and contingency plans for mitigating and addressing risks during the implementation. • Issue resolution process. • The staff, tasks and sequence of go-live actions necessary to cut over to a new system during implementation. • The staff, tasks and sequence of backing out of a go-live if it is determined the go-live is a failure and must be undertaken at a later date.
Must validate the Contractor has a solid infrastructure foundation (e.g. servers, storage, interconnect, physical database) in place, is ready for production and has been performance tested for applicable levels of activity.
Must validate all production data (e.g. reference, history) and source code is loaded to the appropriate environments.
Must validate that interfaces to exchange data are production ready.
Must validate that appropriate network connectivity is in place and production ready.
Must validate all necessary system and ancillary access is in place, including passwords and security permissions, for all resources per the approved security matrix.
Must provide the State with all reasonably requested information to support a go / no-go decision prior to go-live.
Must receive State approval prior to beginning the implementation and prior to go-live.
Must coordinate and communicate with all actors to ensure each understands the tasks and sequence of actions

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Implementation and Contingency
each must take and that an integrated 'practice' of go-live actions takes place prior to the actual cut over.
Must provide event driven communications updates to designated State staff and leadership during cut over.
Must coordinate and communicate with all actors to ensure each understands the tasks and sequence of actions each must take to back out of a go-live, including an integrated practice of these actions with the requisite actors prior to undertaking a go-live cutover.
Must provide the State a post implementation report noting any issues encountered in hardware, network, software or operations during implementation and what their resolution was or is expected to be.

3. Proposal Expectations

It is expected that contractors will have established, proven implementation and contingency approaches and methods to successfully complete this stage of the DDI phase. Therefore, the contractor must include the following in the proposal:

- Describe the Contractor's methodology, approach, and processes for implementation management and contingency planning.
- Provide the Contractor's implementation and contingency plan template including instructions and procedures for completing the deliverable.
- Provide examples of implementation and contingency plans completed for previous projects.
- Provide examples of similar efforts that included working with Managed Care Organizations

III. Initial Operations and CMS Certification

A. Phase Overview

1. Overview

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

2. Requirements

Contractor must meet the following requirements:

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

3. Proposal Expectations

The Contractor must:

- Provide an overview of the Contractor's plan and approach for successfully managing the initial operations until operational normalcy is obtained.
- Provide an overview of the Contractor's plan and approach to certification

B. Initial Operations Support and Management

1. Overview

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

2. Requirements

The Contractor must meet the following requirements:

Initial Operations Support and Management

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

3. Proposal Expectations

It is expected that individual contractors will have established and proven methodologies within their organizations for initial operations support and management. Therefore, the contractor must include the following in the proposal:

- Describe the holistic approach to initial support and management of the solution upon implementation.
- Describe the approach to issue identification, establishing priority and severity, and resolution when the system is not functioning as expected. Describe priority and severity levels and the contractor's proposed resolution timeframe.
- Provide the template for the plan for initial operations and support and instructions and procedures provided to the contractor's team to complete the template.
- Provide examples of plans and procedures used on previous projects.
- Provide examples of the types of issues encountered in previous projects, the actions taken to resolve the issues, and the issue resolution timeframe.
- Update the Deliverable Catalog when contractor plans to submit a separate plan from the Implementation and Contingency Plan for monitoring, identifying, tracking and responding to issues at least 120 days prior to go live.
-

C. CMS Certification

1. Overview

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

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

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

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2. Requirements

Contractor must meet the following requirements:

CMS Certification
Must submit a certification plan 120 days prior to implementation.
Must submit all necessary materials such as certification packets required by CMS for certification within 150 days of the implementation date.
Must provide any necessary support to the State throughout the CMS certification planning and review process.
Must provide CMS certification training to State personnel prior to the start of certification activities.
Must remedy all system or operational issues required for CMS certification.

3. Proposal Expectations

The State expects that contractors have participated in a previous successful CMS Certification and understands the actions required to successfully reach certification. The State expects that the Contractor must:

- Provide a detailed strategy, methodology and approach to CMS Certification including the processes and procedures that will be used to manage the certification activities and how these activities will be integrated with the management system.
- Describe how the contractor's approach to DDI supports the eventual certification of the solution.
- Describe the methods, approach and process used to develop a Certification Plan.
- Provide a sample Certification Plan.
- Describe approach to cooperating with IV&V efforts to verify and validate readiness for CMS certification.
- Describe the process and procedures to be used to create the documents necessary for CMS certification.
- Provide the approach to developing the Certification Checklist
- Provide a sample certification checklist.
- Provide a sample certification review package from a previous project.
- Describe the level of support and identify the type of resource(s) at each stage including discrepancy handling, of the CMS certification process.
- Describe the approach to the certification strategy and methodology detailing the processes and procedures that will be used to manage the certification activities and how these activities are integrated with the contractor's management system.

D. Organizational Staffing

1. Overview

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

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

Key Position	Qualifications	Start Date	Special Requirements
Stabilization Manager	A minimum of five (5) years of experience managing or in a key management position for a large-scale healthcare IT development project that encompasses the full system development life cycle from initiation through post implementation; and <ul style="list-style-type: none"> - Previous responsibility for managing an implementation through initial go-live and stabilization. 	Contract signing date	Must not serve in any other position. Must be 100 percent allocated to the project through stabilization. Must be onsite 90% of the time in Lincoln, Nebraska.

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

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

Key personnel must not be reassigned within the Contractor’s organization without prior State approval. With respect to all persisting vacancies of Key Personnel during this phase, the State must receive a credit equal to the full-time labor cost including the contractor’s overhead and margin costs of the unavailable individual, prorated for each day or partial day until the position is satisfactorily filled. For vacancies due to any reason other than dismissal by the state, of the applicable individual, the credit must begin to accrue at the time the vacancy occurs. For vacancies that occur due to the state’s request, the credit must begin to accrue on the sixtieth (60th) business day after the vacancy occurs. Key personnel must be replaced with individuals with comparable experience and qualifications as those submitted by the contractor in the proposal pending state approval. Contractor is required to submit resumes and allow the state to interview applicants as part of the approval process.

The State may require the Contractor to relieve any of the Contractor’s personnel from any further work under the Contract if in his/her sole discretion (i) the individual does not perform at the applicable skill level specified in the Contractor’s Technical Proposal or elsewhere in the Contract, (ii) the individual does not deliver work that conforms to the performance standards stated in the RFP, the Contractor’s Technical Proposal, and elsewhere in the Contract, or (iii) the person exhibits personal or professional conflicts with State personnel that hinder effective progress on the project. Upon being notified in writing by the State Contract Administrator that a member of the Contractor’s personnel is unacceptable, the Contractor must immediately remove that individual from any assignments on the Contract. In the event that a member of the Contractor’s personnel is removed pursuant to this paragraph, the process set out above for submission of resumes, interviews, and approval must apply as if the person removed were among the Key Personnel.

The State requires that the Contractor provide an interim resource within five business days for any key personnel vacancies regardless of the reason for the vacancy.

2. Requirements

Contractor must meet the following requirements:

CMS Initial Operations and Certification Organizational Staffing

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CMS Initial Operations and Certification Organizational Staffing
Must provide a resource utilization matrix detailing the Contractor's increased staffing levels to address go-live issues, preparation and planning for certification, and maintaining performance measures.
Must provide a certification manager to interact in tandem, with the State and the IV&V vendor.
Must provide an adequate team of resources to monitor, track, and correct identified issues.
Must provide an adequate team of dedicated resources for preparation and support of CMS certification.
Must maintain an adequate number of staff to support the initial operations enhanced activities in addition to the normal operational staff.
Must provide and retain sufficient staff in the right mix, inclusive of technical (e.g. systems analysts, technicians) and non-technical (e.g. clerical, business analysts) resources to resolve issues and meet the requirements specified in this RFP, and the resulting contract.

3. Proposal Expectations

The Contractor must include the following in the proposal:

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

E. User Support

1. Overview

The State anticipates that the Contractor will need increased user support during the initial operations for external and internal authorized users. It is critical that a plan and process for comprehensive initial user support be established until the system is stable. It is also critical that the plan is well communicated to internal and external users as applicable. The goal is for internal and external users to understand what to do when an issue arises, how the issues are going to be addressed, and how the user will be informed of the way the issue was addressed.

2. Requirements

The Contractor must meet the following requirements:

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

3. Proposal Expectations

The Contractor must:

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- Describe the methodology, approach and process for user support during initial operations through CMS certification.
- Provide samples of User Support Plan from previous projects.
- Include proposed hours of operation, service level measures and how 24 hour on-call support will be provided.
- Describe the help desk escalation procedures and expected response times.
- Provide a list of the top five support issues from a previous project and the resolution response times and describe corrective actions.
- Provide the standard template for the user support plan including instructions and procedures for completing the deliverable.

F. Contingency Planning

1. Overview

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

2. Requirements

The Contractor must meet the following requirements:

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

3. Proposal Expectations

The contractor must:

- Describe the Contractor's approach to managing risks during the initial operations and CMS certification phase.
- Provide the Contractor's template for a contingency plan including the instructions and procedures for completing the deliverable.
- Provide examples of contingency plans used on previous projects.

IV. Operations Phase

A. Phase Overview

1. Overview

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

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

2. Requirements

Contractor must meet the following requirements:

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

3. Proposal Expectations

The Contractor must:

- Provide an overview of the Contractor's plan and approach for managing operations including continual improvement methods and processes.
- Describe how the contractor's solution will provide timely and actionable reporting and analysis which can be utilized by the program team to improve the responsiveness, nimbleness, and cost-effectiveness of Nebraska's Medicaid program.

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

1. Overview

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

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

2. Requirements

The contractor must meet the following requirements:

Project Management and SDLC
Must manage all aspects of the contract that affect operations, cost, schedule, and performance (scope and quality); including any risks, issues, opportunities, and resources that are under its control.
Must develop and submit for approval an Operational Project Management Plan describing the strategies, tactics, and procedures by which daily operations will be managed while maintaining the production system and implementing changes to the production system.
Must put into practice and follow the approved Operational SDLC Plan and submit for re-approval any changes to the approved plan.
Must employ a proven project management approach promoting the development of a strong working relationship and facilitating open and timely collaboration between the state, the Contractor, other contractors, and project stakeholders.
Must employ a proven project management approach ensuring the transparency of management actions and project results so that all parties remain properly informed.
Must lead coordination with all other organizations whose participation is necessary for project success. The state must reasonably support the contractor's coordination efforts.
Must prepare and submit the Integrated Master Schedule (IMS) for releases which addresses each phase of the PMLC and SDLC and must identify all integration points between all contractors and the state including interfaces, inputs, and outputs that the contractor requires from other contractors, the State, or other entities.
Within the IMS, must at a minimum decompose all tasks starting within a 120-day forward window into the future. This 120-day view should be maintained from month-to-month to provide an appropriate level of visibility always providing this 120-day forward outlook. Any task exceeding 10 days in duration must be broken down to indicate subtasks detailing an appropriate level of work effort.
Must provide updated, compatible, weekly extracts (or any other interval requested by the State) of its Integrated Master Schedule(s) to the State for import into MS Project and/or or CA Clarity PPM. Extracts must include, at a minimum, tasks, start dates, finish dates, resource assignments, level of effort, duration, dependencies,

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Project Management and SDLC
constraints, % completion, milestones, predecessors, successors and variances from baseline.
Must use a commercial, off-the-shelf project planning software for building and maintaining the IMS. However, if it uses software other than Microsoft Project, Project Server, or Clarity, it must provide training for State project staff, provide a reasonable number of licenses for State designated use, and ensure compatibility with the State's computers.
Must provide all PMLC and SDLC deliverables included in the Contractor's proposed deliverable catalog in conformance with the provided templates, instructions, and procedures and of the quality of the provided examples used on previous projects. Any templates or forms developed during the course of the project must be submitted for review and approval by the State prior to their use.
Must perform work in accordance with the approved IMS timeframes.
Must perform cohesive project management in all aspects of operational planning, organizing, staffing, scheduling, and monitoring.
Must ensure the transparency of operational management plans, actions and outcomes so that all stakeholders remain properly informed.
Must implement and monitor an internal quality control process to ensure that all deliverables, documents, and reports are complete, accurate, easy to understand, and of high quality. Include a process to record and address corrective and preventive actions.
Must include in the proposed Operational Project Management Plan all integration points between all contractors, organizations, and the State including interfaces, inputs, and outputs required from other contractors, organizations, or the State.
Must put into practice and follow the approved Operational Project Management Plan and submit for re-approval any changes to the approved plan.
Must schedule, attend, and facilitate recurring Operational Project Management status meetings with the State on an agreed upon schedule.
Must perform production support, and employ sound System Development Life Cycle (SDLC) methodologies to implement system changes and enhancements while maintaining production system operations.
Must develop and submit for approval, an Operational Communications Management Plan that demonstrates what will be communicated, to whom, using which channels for information sharing and at what intervals. The plan must demonstrate the process for originating, reviewing and approving communications to State, other impacted contractors, and organizations.
Must put into practice and follow the approved Operational Communications Management Plan and submit for re-approval any changes to the approved plan.
Must develop and submit for approval an Operational System Development Life Cycle (SDLC) Plan; defining the methodologies, approach, and processes that will be followed during each phase of the SDLC.
Must provide project planning software training for State project staff, provide a reasonable number of licenses for State use, and ensure compatibility with the State's computers if utilizing software other than MS Project and/or CA Clarity PPM.

3. Proposal Expectations

To understand and appropriately evaluate the contractor's approach and discipline within the culture of the contractor's organization, the State's expectation is that the contractor must:

- Describe the contractor's methodology, approach, and processes for Project Management during Operations. Define how this methodology differs between DDI and Operations.
- Describe the contractor's methodology, approach, and processes for System Development Life Cycle during Operations.
- Describe how contractor intends to manage and control updates to its project plan(s) and baselines, including the frequency of updates.
- Describe how Operational Project Management, Quality Management, Operational Change Management and SDLC plans are designed to work together.
- Describe what standard(s) the contractor's proposed methodologies are based upon or consistent with.
- Provide examples of Operational Project Management Plan deliverables used by previous contracts.
- Provide examples of Operational Communications Management Plan deliverables used by previous contracts.
- Provide examples of Operational SDLC Plan deliverables used by previous contracts.

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C. Performance and Status Reporting

1. Status Reporting

a. Overview

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

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

b. Requirements

The Contractor must meet the following requirements:

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

c. Proposal Expectations

The State's expectation is that the Contractor must:

- Describe the Contractor's process for capturing status on activities at a detailed level and reporting the information as needed based on status reporting audience.
- Describe the Contractor's methods and approach for reporting status on operational performance measures.
- Provide the Contractor's status report templates including instructions and procedures for completing the templates.
- Provide examples of similar status reports used by previous projects.

2. Performance

a. Overview

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

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

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The Contractor must submit the detailed data for all performance measures electronically to the state for review. The State may use this detailed data to develop a dashboard for all performance measures. The dashboard must clearly indicate measures which are missed and the number of times each measure has been missed by the Contractor for the life of the contract. The Contractor must submit its methodology for determining performance measures for State approval.

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

In the event the Contractor disputes responsibility of the cause for the Contractor's failure to meet any performance requirements, the State may use the services of an independent party to analyze and determine where responsibility lies. If it is determined that the measure was missed due to no fault of the Contractor, the Contractor must be exempted from the penalty. If it is determined that the Contractor contributed in any way to missing the performance measure, then the Contractor must be penalized for both the missed measure and the cost of the analysis from its next monthly invoice.

The State may, at its sole discretion, waive a penalty for extenuating circumstances. Waiver of the penalty for a failure to meet a performance measure does not waive the failure in terms of the penalty calculations unless the failure was due to no fault of the Contractor. For example, the Contractor misses a severity level 5 measure for the first time and the State waives the penalty due to the Contractor's submitted extenuating circumstances. Two months later, the Contractor misses the same measure. The penalty amount for the second failure is two thousand dollars (\$2,000). One thousand dollars (\$1,000) multiplied by two (2) occurrences for which the measure has failed. The State intends for the Contractor to establish processes which are capable of consistently meeting the performance measure unless an unavoidable special cause is introduced.

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

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Impact Severity Level	Penalty for Failure to meet Performance Measure
	One thousand dollars multiplied by the total number of occurrences of a specific failure is the penalty for each subsequent occurrence the same performance measure that is unmet. Subsequent occurrences can be non-sequential and will accumulate for the duration of the each contract period.

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

b. Requirements

The Contractor must meet the following requirements:

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

c. Proposal Expectations

The State’s expectation is that the Contractor must:

- Provide the Contractor’s proposed template for reporting performance measure compliance.
- Provide the Contractor’s corrective action plan template including instructions and procedures for completing the template.
- Provide examples of similar corrective action plans utilized by previous projects.
- Provide a description of how the Contractor plans to monitor, manage and achieve all performance measures.

D. Deliverables

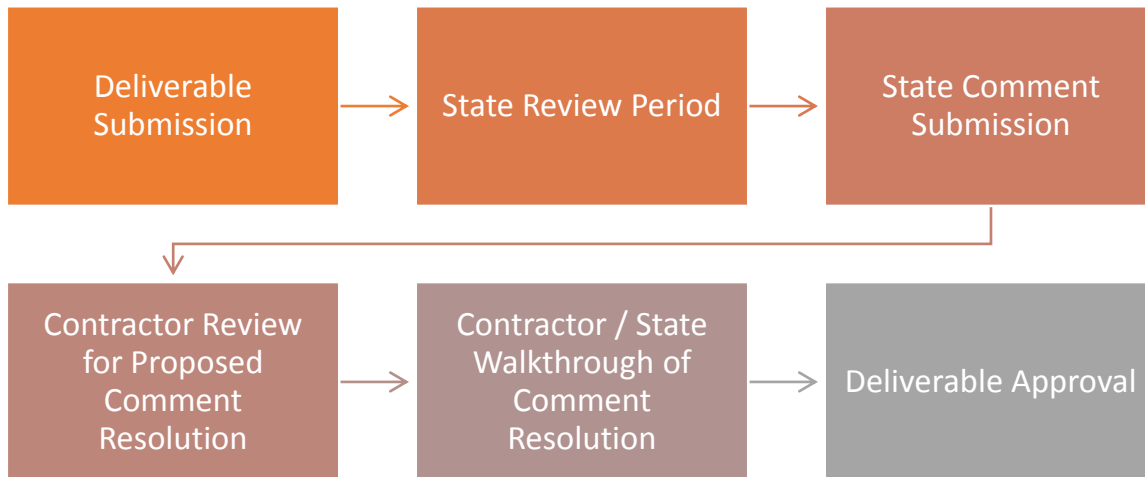
1. Overview

During Operations, the State anticipates changes will occur as a result of mandates from CMS including Legislative changes, operational improvements, etc. The State will work with the Contractor to prioritize these changes and to coordinate implementation schedules for each of the resulting deliverables. All deliverables will be managed using State approved practices. Schedules will be maintained in an Integrated Master Schedule including all contractor and State activities. Activities for other contractors will also be maintained in the Integrated Master Schedule. Responsibilities for maintaining these schedules will be determined by ownership of the deliverables. The State reserves the right to designate the responsible party or parties to ensure this schedule is correct and up to date.

a. Review and Approval

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

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

2. Requirements

The Contractor must meet the following requirements:

Operations Deliverables
Must provide all documentation deliverables included in the Contractor's proposed deliverable catalog in conformance with the provided templates, instructions and procedures, and of the quality of the provided

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Operations Deliverables
examples submitted with the proposal.
Must perform work and submit deliverables for State review and approval in accordance with the approved frequency as identified in the deliverable catalog.
Must maintain a status report detailing progress and completion of all approved deliverables.

3. Proposal Expectations

Complete the deliverable catalog provided in Attachment A for each deliverable the vendor proposes to provide in the Operations Phase. Instructions for completing the Catalog are in the table below.

Column Heading	Instruction
IMS WBS ID	Provide the Work Breakdown Structure ID from the proposed IMS in this column.
Related Proposal Section	Include the section numbering of the proposal section in which the deliverable is referenced and described.
Deliverable Name	Provide the name of the deliverable. If the name of the deliverable is abbreviated in the IMS, please provide the IMS abbreviated task name in parenthesis. The deliverable name should match the deliverable name used in the Contractor's proposal sections.
Deliverable Description	Provide a summary description of the deliverable
Deliverable Type	Provide the type of deliverable in the catalog. The options for type are: <ul style="list-style-type: none"> • Document • Tested Product • Environment • Other
Frequency	Include the frequency of submission for the deliverable: <ul style="list-style-type: none"> • Singular – Deliverable has a singular point-in-time submission and is not intended to be maintained. For example, the DDI test plan may be singular depending on the Contractor's approach. • Weekly – Deliverable is regularly updated and provided on a weekly basis. An example would include a weekly status report. • Monthly - Deliverable is regularly updated and provided on a monthly basis. An example would include a monthly status report. • Quarterly - Deliverable is regularly updated and provided on a quarterly basis. An example would include a quarterly status report. • Yearly – Deliverable is updated on an annual basis. An example would include an annual business plan. • Change request – Deliverable is generally static unless a change request impacts the deliverable. An example would include a user manual.
Deliverable Size	The purpose for this column is to provide the State with understanding of the review effort that will be necessary for a deliverable. Provide the expected size of the deliverable. If the deliverable is a document, include the expected page volume. If the deliverable is tested product, provide the number of screens, rules, etc. If the deliverable is an Environment, the column is not applicable.
Deliverable Review Time	Provide the Contractor's proposed review time period for the State's initial review. During the evaluation, the State will review the proposed review time for reasonableness.
Review Method / Contractor Support	Provide the Contractor's proposed review method for the deliverable. Identify any Contractor proposed support for the review process (i.e. walkthrough, demonstration, etc.)

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For all documentation deliverables, the Contractor must include the following in the designated sections of the Contractor’s proposal:

- Standard deliverable templates and instructions and / or procedures followed by the Contractor’s team for completion of the deliverable.
- Provide examples of the proposed deliverables used by previous projects.

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

E. Quality Assurance and Monitoring

1. Overview

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

A collaborative approach to quality will:

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

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

2. Requirements

Contractor must meet the following requirements:

Quality Assurance
Must develop and put into practice a comprehensive Operations Quality Management Plan to infuse quality throughout operations.
Must update and follow the Operations Quality Management Plan and documented procedures as applicable during the operational phase.
Must use the Operations Quality Management Plan for all changes made during the operational phase supporting the terms of this contract.
Must record and address corrective and preventive actions within the timeframe specified by the State.
Must maintain and put into practice a test plan for testing of any changes to the provided solutions.
Must use a proven tool to identify and track defects and SLA deficiencies.
Must use a rating system for defects.
Must conduct internal quality reviews for all deliverables before the deliverables are submitted to the State.
Must establish and maintain written internal quality assurance policies for meeting the requirements of this contract.

3. Proposal Expectations

The State considers the use of recognized quality assurance methodologies to be critical to the success of all operations. The State expects the Contractor to maintain strong quality control processes while in the Operations Phase.

The contractor’s proposal must include the following:

- Provide a sample of an Operations Quality Management Plan used on a similar project.
- Describe how the Contractor will follow the Operations Quality Management Plan.
- List any expected changes the contractor will make to the Quality Management Plan for transitioning from DDI to Operations.

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- Describe the Contractor’s methodology for continual improvement of operations.
- Describe the Contractor’s procedure for providing feedback to employees of quality monitoring results.
- Describe measures taken to proactively identify and resolve quality issues throughout the operations phase of the contract.
- Describe the Contractor’s approach to testing of changes to the provided solutions.

F. Change Management

1. Overview

Change management includes the formal process through which potential changes to the overall project scope are introduced, and approved, deferred, or rejected based on established evaluation criteria.. For purposes of this section, the definition of a change is anything that changes in the state of the Operations phase. The State will maintain a modification pool within the contract to pay for State approved changes. The State will only approve and pay for substantial changes which are the of a new requirement not included within the requirements of the contract and State approved design.

All change requests meeting the above criteria will require approval of the State’s designated contract manager. The contractor must complete any analysis as required to support the change request. Upon receipt of the analysis and approval by the contract manager for additional payment to the contractor, the contract manager will determine whether to pay for the change request through time and materials or a fixed price.

If the contract manager approves the need for a change request, but finds that the change request does not meet the criteria for additional State payment to the contractor or disagrees with the amount of the additional charges, the contractor is expected to begin work on the change request so the implementation of the change request is not delayed. If the contract manager and contractor cannot reach agreement on any additional charges due to the contractor, the contractor may dispute the decision pursuant to the contract’s dispute clauses. Costs associated with the contractor meeting the requirements of the change management process are included in the base contract and are not subject to additional charges for the modification pool.

All changes will be governed at the most appropriate level based on the impact of the change request. The approval authority indicated below can approve said changes.

Level	Description	Approval Authority
Contract Change Control	Changes that only impact the contracted services and do not change any interaction with entities or systems external to the contract.	State Designated Contract Manager
Organizational Change Control	Changes that impact entities external to the contractor.	State Designated Deputy Director

2. Requirements

The contractor must meet the following requirements:

Change Management
Must establish a process to track and manage change requests for the duration of the contract. Contractor must track, at a minimum, the change description, origin, status, target implementation date, and actual implementation date. The process must accommodate escalation and disposition of change requests escalated to the project or organizational change control approval levels.
Must analyze all change requests and submit an assessment to the State within 30 days of the request. At a minimum, the assessment must include resource estimates, cost, schedule, and impacts to external entities and business operations. The contractor is expected to provide both a time and materials estimate and a fixed price estimate.
Must support discussions and meetings on the disposition of change requests with the necessary team members to enable decision making.
Must perform a MITA assessment of all change requests and coordinate with the State’s MITA Coordinator.
Must submit all change requests and analysis results to the State for disposition and prioritization.
Must develop and submit for approval a Business and System Requirements Document (BSRD) for each proposed system change.
Must include at a minimum in the BSRD; all impacted ‘as-is’ and ‘to-be’ business and system processes, with

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corresponding business and system solution requirements.
Must adhere to all Project Management and SDLC requirements for all system changes.
Must develop and submit for approval an Operational System Release Schedule for all system changes that will be implemented in the upcoming months.
Must put into practice and follow an approved Operational System Release Schedule and submit for re-approval any changes to the approved schedule.
Must design, develop, test, and implement approved system changes within the approved Operational System Release Schedule timeframes, throughout the duration of the contract.
Must develop and submit for approval a detailed Integrated Master Schedule (IMS) for each upcoming system release addressing each phase of the SDLC and identifying all integration points and dependencies between all contractors and the State including interfaces, inputs, and outputs that the contractor requires from other contractors, the State, or other impacted entities.
Must request and receive final State approval prior to implementing a change into production.
Must implement system changes in a manner with the least possible impact to the project timeframes and budget while maintaining a high quality delivery.
Must provide the ability to rapidly revert to the previous system configuration when a newly implemented change causes an undesirable impact.
Must develop and submit for approval a remediation plan for reconfiguration and redeployment when a newly implemented change causes an undesirable impact.
Must schedule, attend, and facilitate system change development activities with the necessary internal and external stakeholders impacted by the change to define requirements, roles, and responsibilities.
Must submit a weekly detailed accounting of the work performed by each individual billing time to a system change within the weekly status report.
Must include in the monthly status report to the State information regarding all system changes implemented within the previous month. At a minimum, the report will include actual vs. estimated schedule, hours, cost, and resources.
Must include in the monthly status report to the State all projected system changes that will be implemented in the upcoming months. At a minimum, the report will include the projected schedule, estimated hours, cost, and resources.
Must monitor changes in Federal and State laws and rules for impacts to operations that require system changes.
Must fully test system changes prior to inclusion in the production environment.
Must coordinate external testing with agencies if deemed appropriate by the State.
Must perform and test interfaces with the various interface partners as system changes are planned. Once system changes are implemented, post production monitoring must occur for a period of time specified by the State.
Must implement approved changes and additions to the system based on Business Rules and/or Policies in accordance with the agreed upon schedule.
Must provide a system-inherent mechanism for recording any change to a software module or subsystem.
Must develop, implement, and maintain a Configuration Management process that includes procedures to track and manage hardware and software inventories installed and the combination of hardware and software residing on each component of equipment.
Must implement the Configuration Management process no later fifteen (15) calendar days after receipt of approval by the State
Must conform to future federal and/or the State-specific standards for data exchange at least 90 calendar days prior to the standard's effective date, as directed by CMS or the State.
Must support system updates or changes by drafting the appropriate revisions to the documentation, and forward them to the State for review and approval at least 45 calendar days prior to intended implementation. Upon the State approval, the Contractor must prepare revisions to the appropriate manuals before implementing the system changes.

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Must support discussions and meetings on the disposition of change requests with the necessary team members to enable decision making

3. Proposal Expectations

To understand and appropriately evaluate the contractor's approach and discipline within the culture of the contractor's organization, the State's expectation is that the contractor must:

- Describe the contractor's methodology, approach, and processes for change management during Operations. Define how this methodology differs between DDI and Operations.
- Describe what standard(s) the contractor's proposed methodologies are based upon or consistent with.
- Provide a proposed template for a Business and System Requirements Document deliverable.
- Provide examples of for Business and System Requirements Documents utilized by previous contracts.
- Provide a proposed template for submitting change requests with instructions and procedures staff will follow to complete the template.
- Provide examples of change requests utilized by previous contracts with instructions and procedures staff followed to complete the templates.
- Describe how the contractor will track and manage change requests.
- Provide examples of a change request tracking methodologies utilized by previous contracts.
- Include the contractor's proposed Operational System Release Schedule template in the deliverables catalog.
- Provide examples of Operational System Release Schedules utilized by previous contracts.
- Describe the types of change requests historically received by the contractor and the typical resource mix (percent of hours) by resource category contained in the contractor's pricing proposal utilized to complete the change requests.
- Describe how the contractor's change management approach can adapt to existing or newly defined Federal and State laws and rules.

G. Data and Record Retention

1. Overview

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

2. Requirements

Contractor must meet the following requirements:

Operations Data and Record Retention
Must conduct data refreshes when necessary, that are recoverable.
Must provide access to all data including metadata, to authorized users.
Must continue to follow the State approved Data Retention and Archive Plan.
Must submit a Data Reconciliation Plan for State approval and execute per the approved plan.
Must comply with all applicable federal and state data retention and archival rules, regulations, and requirements for all program information, data, and correspondence that is received and produced through the solution.
Must restore archived data for viewing, printing, and exporting to files as requested by the State.
Must continue to provide and maintain a secure environment(s) that ensures confidentiality of all State records and other confidential information regardless of media or location.
Must archive and purge archived data in accordance with the State archival and purge schedules for all media

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Operations Data and Record Retention
types.
Must retain all data and other “records” relating to the acquisition and performance of the Contract for a period of six years after the completion of the Contract.
Must store estate recovery data as provided by the state from 1994 forward.
Must retain all data history on-line for a period of time defined by the State.
Must archive all data received from the State outside of the defined on-line time period in a format that allows access so that reports may be generated from this data within 24 hours of a request from the State.

3. Proposal Expectations

The State expects that individual contractors will have proven organizational procedures in place for retaining and storing data. Plans and methodologies will be evaluated and scored according to how well they fall in line with State needs and expectations. Therefore, the State expects the contractor to include in their proposal:

- Description of the approach to the data refresh strategy and methodology that includes the processes, identifies the tools, and describes the validation process
- Description of how data will be accessed by authorized users. Include any unique or innovative features and advantages/benefits that makes the solution unique to standard functionality.
- Description of the Data Retention and Archive Plan strategy and methodology.
- Checklists, metrics and tools that the Contractor plans to use to measure and assess the quality and accuracy of the data
- Sample Data Retention and Archive Plan from a previous project
- Description of the Data Reconciliation Plan strategy and methodology
- Description of the recovery procedures including resources and timing, in the event of a data issue
- Sample Data Reconciliation Plan from a previous project
- Describe the scope of non-state-owned data sources used by the Contractor’s solution and how they augment that solution
-

H. Business Continuity and Disaster Recovery

1. Overview

The Contractor must provide a Business Continuity and Disaster Recovery plan for the Operations Phase of this contract. The plan must be approved by the State and implemented prior to the start of operations. For purposes of this RFP, "disaster" means an occurrence(s) of any kind that adversely affects, in whole or in part, the error-free and continuous operation of the Operational System and supporting services, and/or affects the performance, functionality, efficiency, accessibility, reliability, and security of the Operational System. Disaster events may include natural disasters, human error, computer virus, or a malfunctioning of the hardware or electrical supply.

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

2. Disaster Recovery and Business Continuity Requirements

The Contractor must meet the following requirements:

Operations Business Continuity and Disaster Recovery
Must provide a Business Continuity and Disaster Recovery Plan that includes strategy, methodology, process, tools, quality and contingency aspects.
Must provide mission critical services as defined by the state that must not be interrupted.
Must perform periodic testing to demonstrate that the Business Continuity and Disaster Recovery Plan is correctly implemented and operational and comply with prescribed recovery timelines.
Must maintain system redundancy as identified in the Business Continuity and Disaster Recovery Plan and approved by the State.
Must allow MLTC to perform on-site review of data center area that houses solution servers and redundant hardware.
Must regularly maintain full back up of all data and software at a secure off-site location.
Must establish and adhere to fail-safe back-up and recovery procedures.

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Operations Business Continuity and Disaster Recovery
Must demonstrate readiness to re-establish a production environment in the event of a disaster.
Must ensure, in the event of a declared major failure or disaster, the DMA must be back online within 48 hours of the failure or disaster.
Must notify the State within 15 minutes of discovery of any problem when the problem results in delays in report distribution or problems with online access to critical system functions and information during a business day,
Must provide at least hourly updates to the State on information system outages, including problem resolution. At a minimum, these updates must be provided via email or telephone.
Must ensure that upon discovery of any problem within its span of control that may jeopardize or is jeopardizing the availability and performance of critical system functions and information, including any problems affecting scheduled exchanges of data, the Contractor must notify the State within 60 minutes of such discovery. In its notification, the Contractor must explain in detail the impact to critical path processes, such as enrollment management.
Must resolve unscheduled outages of critical system function caused by a failure of systems and telecommunications technologies within the Contractor's span of control, within 60 minutes of the official declaration of system outage. Unscheduled system outages of any other DMA information system functions caused by system and telecommunications technologies within the Contractor's span of control must be resolved within eight (8) hours of the official declaration of system outage.
Must, within five business days of the occurrence of a system availability problem, provide the State with full written documentation that includes a root cause analysis and a corrective action plan describing how the Contractor will prevent the problem from occurring again.
Must ensure that critical system functions, as determined by the State, will be available twenty-four (24) hours a day, seven (7) days a week. Maintenance and down time must be scheduled and approved by the State. All unscheduled downtime must be reported to the State immediately, with stated corrective action and workarounds.
Must ensure that, at a minimum, all non-critical system functions and information are available to the appropriate system users between the hours of 7:00 am and 7:00 pm, central time, Monday through Friday.
Must provide, implement, maintain, and be continually ready to implement, a contingency plan that must include a disaster recovery plan (DRP) and a business continuity plan (BCP). A DRP is designed to recover systems, networks, workstations, applications, etc., in the event of a disaster. A BCP must focus on restoring the operational function of the organization in the event of a disaster and includes items related to IT, as well as operational items, such as employee notification processes and the procurement of office space, equipment, and supplies needed to do business in emergency mode.
Must provide, implement, maintain, and be continually ready to implement, a contingency plan that must address the following scenarios: <ul style="list-style-type: none"> • The central computer installation and resident software are damaged or destroyed. • System interruption or failure that result from network, operating hardware, software, or operations errors that compromise the integrity of transactions that are active in a live system at the time of the outage. • System interruption or failure that result from network, operating hardware, software, or operations errors that compromise the integrity of data maintained in a live or archival system. • System interruption or failure that result from network, operating hardware, software, or operational errors that do not compromise the integrity of transactions or data maintained in a live or archival system, but prevents access to the system, such as causing unscheduled system unavailability. • The plan must specify projected recovery times and data loss for mission-critical systems in the event of a declared disaster.
Must annually test its plan through simulated disasters and lower level failures in order to demonstrate to the State that it can restore systems functions on a timely basis. In the event the Contractor fails to demonstrate through these tests that it can restore systems functions, the Contractor must submit a corrective action plan to the State describing how the failure will be resolved within ten business days of the conclusion of the test.
Must provide for off-site storage and remote back-up capabilities that that comply with all applicable state and federal laws, rules and regulations.

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Operations Business Continuity and Disaster Recovery
Must provide remote back-up that includes operating instructions, procedures, reference files, system documentation, and operational files.
Must provide data back-up and restoration policy and procedures that include, but not be limited to: <ul style="list-style-type: none"> • Descriptions of the controls for back-up processing, including how frequently back-ups occur, and target restoration times. • Documented back-up and restoration procedures. • Location of where data will be backed up (off-site or on-site, as applicable). • Identification and description of what is being backed up as part of the back-up plan. • Any change in back-up procedures in relation to the DMA's technology changes.
Must provide a list of all back-up files to be stored at remote locations, which must be approved by the State before tapes are moved off-site.

3. Proposal Expectations

The State expects that the Contractor has an established approach for business continuity and disaster recovery that can be integrated into the State's Business Continuity and Disaster Recovery Plan. Therefore the State has not dictated a specific methodology or approach to allow the contractor to utilize its approach. Information in this regard will be evaluated and scored accordingly. The Contractor's must include the following in the proposal:

- Provide a description of The Contractor's methodology and approach to implementation of the Business Continuity and Disaster Recovery Plan that clearly articulates the activities of the process including the various levels of criticality, failover and redundancy of key system aspects, alternate processing methods, data center specifications, testing, maintenance, and staffing.
- Describe the periodic testing protocol and frequency of testing.
- Describe back up process and secure offsite storage plan
- Provide a sample business continuity and disaster recovery plan from a previous project.
- Provide the Contractor's standard business continuity and disaster recovery deliverable templates including instructions and procedures for completing the deliverable.
- Provide examples of the proposed Business Continuity and Disaster Recovery Plan standard deliverables utilized by previous projects.
- Provide a description of how business continues during the disaster.
- Provide a description of approach, method, and samples of root cause analysis reporting for unscheduled downtime.

I. Facility

1. Overview

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

2. Requirements

a. Requirements for Operations and Maintaining a Facility

Operations Facility
Must develop and submit for State approval an Operations Facility Plan.
Must equip the facility with security equipment ensuring that only authorized individuals are allowed access and internal and external video surveillance.
Must provide and maintain a secured facility with access as specified by the State that is ADA compliant.
Must maintain a secure server room with appropriate HVAC and security for any application servers located on site at the contractors facility.
Must equip the contractor facility with connectivity as required for any and all contractor personnel.
Must provide all office equipment needed by contractor personnel while assigned to the DMA contract, including PCs, printers, software, and other necessary office equipment.

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Operations Facility
Must provide State access to contractor’s office space as requested during regular business hours.
Must provide off-site facilities for storage with secured access.

b. Requirements for Operations and Closing a Facility

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

3. Proposal Expectations

The State expects that the contractor will have established processes and procedures in place for maintaining and closing a facility. The State will score proposals according to how well the Contractor meets the facility requirements and needs of the State. The contractor must:

- Describe the contractor’s methodology, approach, and processes for the Operations Facility.
- Provide an overview and describe the contractor’s locations and facilities where work will be performed.
- Describe the contractor’s facility needs at the State facility.
- Describe the contractor’s approach for power and network back-up strategy to minimize project work impacts due to outages.
- Provide a description of the contractor’s controlled access methods for each facility.

J. Organizational Staffing

1. Overview

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

a. Required Key Positions

The following are the State required key positions:

Key Position	Qualifications	Start Date	Special Requirements
Account Manager	A minimum of five (5) years of experience in managing or in a key management position for a large-scale healthcare data warehouse operations project Previous responsibility for managing subcontractor resources, if subcontractors are included as part of this proposal.	Two months prior to beginning of Operations Phase	Must not serve in any other position. Must be 100 percent allocated to the Project throughout the Operations Phase. Must be onsite a minimum of 5 days per month at the department’s facility in Lincoln, Nebraska.
Privacy and Security Manager	A minimum of three (3) years of experience managing Privacy and Security for healthcare. Demonstrated experience and knowledge of Privacy and Security standards and best practices regarding large-scale and enterprise-level projects. Certification in privacy and security from a nationally recognized standards organization.	Two months prior to beginning of Operations Phase	
Subject Matter	A minimum of three (3) years experience	Two months prior to	Must reside on site at the

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Key Position	Qualifications	Start Date	Special Requirements
Expert	in the utilization of the contractors proposed solution.	beginning of Operations Phase	department's facility for one year beginning at the start of the Operations Phase with the ability to renew monthly afterwards.

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

Key personnel must not be reassigned within the contractor's organization without prior State approval. With respect to all persisting vacancies of Key Personnel during all phases, the State must receive a credit equal to the full-time labor cost including the contractor's overhead and margin costs of the unavailable individual, prorated for each day or partial day until the position is satisfactorily filled. For vacancies due to any reason other than dismissal by the state, of the applicable individual, the credit must begin to accrue at the time the vacancy occurs. For vacancies that occur due to the state's request, the credit must begin to accrue on the thirtieth (60th) business day after the vacancy occurs. Key personnel must be replaced with individuals with comparable experience and qualifications as those submitted by the contractor in the proposal pending state approval. The contractor is required to submit resumes and allow the state to interview applicants as part of the approval process.

The State may require the Contractor to relieve any of the Contractor's personnel from any further work under the Contract if in his/her sole discretion (i) the individual does not perform at the applicable skill level specified in the Contractor's Technical Proposal or elsewhere in the Contract, (ii) the individual does not deliver work that conforms to the performance standards stated in the RFP, the Contractor's Technical Proposal, and elsewhere in the Contract, or (iii) the person exhibits personal or professional conflicts with State personnel that hinder effective progress on the project. Upon being notified in writing by the State Contract Administrator that a member of the Contractor's personnel is unacceptable, the Contractor must immediately remove that individual from any assignments on the Contract. In the event that a member of the Contractor's personnel is removed pursuant to this paragraph, the process set out above for submission of resumes, interviews, and approval must apply as if the person removed were among the key personnel.

b. Staff Augmentation Positions

In addition to required key positions, the State requires the contractor to provide the following type of resources to be made available on an hourly basis as needed by the state. These staff must have relevant experience and be proficient in the tools proposed by the Contractor to support the department's operation. All required licensures and certifications must remain current while working on this contract. Contractor must provide the department with documented proof of required credentialing prior to onboarding and at the time of the credentialing renewal.

Key Position	Qualifications	Special Requirements
Health Informatics Specialist	A minimum of two (2) years experience in healthcare informatics utilizing the contractor's proposed solution.	May work off-site.
Report Specialist	A minimum of two (2) years experience in report development utilizing the contractor's proposed solution.	May work off-site.
Physician Medical Reviewer	Licensed physician (M.D.)	Must have been in active practice for minimum of 5 years. May work off-site.
Psychiatrist Medical Reviewer	Licensed psychiatrist	Must have been in active practice for minimum of 5 years. May work off-site.
Pharmacist Medical Reviewer	Licensed pharmacist (Pharm D)	Must have been in active practice for minimum of 5 years. May work off-site.
Dentist Medical	Licensed dentist	Must have been in active practice for

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Key Position	Qualifications	Special Requirements
Reviewer		minimum of 5 years. May work off-site.
Nurse Medical Reviewer	Licensed nurse (R.N.)	Must have been in active practice for minimum of 5 years. May work off-site.
Certified Professional Coder	A minimum of two (2) years experience as a certified professional coder.	May work off-site.
Statistical Methods Expert/Analyst	A minimum of five (5) years experience in statistical methods and analysis.	May work off-site.
Certified Healthcare Auditor	A minimum of five (5) years experience as a certified healthcare auditor.	May work off-site.
Certified Fraud Examiner	A minimum of five (5) years experience as a certified fraud examiner.	May work off-site.
Data Model Expert	A minimum of three (3) years experience in data modeling.	May work off-site.
Data Analyst	A minimum of two (5) years experience as a data analyst.	May work off-site.
Architect	A minimum of five (5) years experience as a solutions, technical, or data architect	Many Work off-site

2. Requirements

Contractor must meet the following requirements:

Operations Organizational Staffing Requirements
Must provide a Staffing Plan detailing the contractor's staffing levels throughout the duration of the contract to maintain performance measures and support ongoing operations. Plan must include key position qualifications, expected number of resources per position, and hours expected per resource.
Must perform criminal background investigations on all personnel and follow-up investigations every 5 years.
Must provide an Account Manager that is accountable for the contract, maintains responsibility for all requirements of the contract, has complete decision making authority, and serves as the dedicated point person to interact with the State and other contractors
Must provide a Privacy and Security Manager to maintain all physical and technical HIPAA privacy and security requirements.
Must provide a Subject Matter Expert that is proficient in the operation of the contractor's application, understands Nebraska specific data and assists the department in day to day troubleshooting, product support, analysis and query development. The Subject Matter Expert must train department staff in these competencies so that department staff become proficient in these areas.
Must provide a helpdesk with an adequate number of staff and expertise to assist state users with application support.
Must provide and maintain an updated Organizational Chart with corporate escalation paths on a monthly basis.
Must acquire State approval for key staff and key staff replacements.
Must provide and retain a team and sufficient staff in the right mix, inclusive of technical (e.g. systems analysts, technicians) and non-technical (e.g. clerical, business analysts) resources to complete the services and meet the requirements specified in this RFP, and if applicable, in the resulting contract.
Must provide and maintain an updated project contact list.
Must provide staff augmentation personnel as requested by the State.

3. Proposal Expectations

The State expects that contractors will have proven organizational procedures in place for staffing a solution during the Operations Phase. The bidder must include the following in their proposal:

- Bidder's approach to employing a competent staff that interacts professionally with the State staff
- An example Staffing Plan
- Names and resumes of all required key positions with references
- Job descriptions of all positions named in the organization.
- A list of additional contractor recommended staff augmentation positions and the qualifications for those positions.

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K. Documentation

1. Overview

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

2. Requirements

Contractor must meet the following requirements:

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

3. Proposal Expectations

The bidder must include the following in their proposal:

- Describe the internal methodology, approach and procedures used to maintain documentation
- Describe the repository and indexing conventions for storage of documentation.

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- Provide examples of all documentation proposed utilized by other projects.
- Provide templates with instructions for completion of all documentation proposed.

L. User Support

1. Overview

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

2. Requirements

Contractor must meet the following requirements:

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

3. Proposal Expectations

It is expected that individual contractors will have established and proven User Support methodologies within their organizations. The State will score proposals based on how well they fall in line with State needs and expectations. Therefore, the bidder must include the following in the proposal:

- Describe the contractor’s user support approach and processes from start to resolution of user issues.
- Describe the escalation procedures and response times.

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- Demonstrate a minimum of one (1) year of experience, within the past ten (10) years, in operating, and maintaining a help desk similar in magnitude to the Medicaid Long Term Care (MLTC) program.
- Provide an overview of user training approach, processes and methods.
- Provide example training material utilized by other operational systems.

M. Privacy and Security

1. Overview

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

2. Requirements

The Contractor must meet the following requirements:

Operations Privacy and Security
Must comply with all security and privacy laws, regulations, and policies, including the Health Insurance Portability and Accountability Act (HIPAA), and related breach notification laws and directives.
Must provide and maintain an Operational Privacy and Security Plan that addresses updating security requirements as new threats/vulnerabilities are identified and/or new technologies implemented
Must maintain a secured single sign-on per user and support DHHS single-sign-on (SSO) as and when applicable.
Must maintain a comprehensive log of user and external system access, queries, and changes, and alert State of key events and access to log information interactively.
Must meet and maintain all HIPAA, HHSS IT Security Policies and Standards, HITECH, ARRA and other State/Federal privacy and security requirements across all systems and services related to the solution.
Must provide and maintain Privacy and Security Policies and Procedures.
Must provide initial and ongoing privacy and security training to all employees and contract personnel assigned to the project prior to providing access to protected health information (PHI).
Must maintain a comprehensive audit trail of systemic and physical access to PHI.
Must demonstrate that the System infrastructure (hardware, software, and linkages) is operational and meets federal and State architectural, technical, security and privacy requirements as well as business and functional requirements.
Must support multi-level role-based security and functionality.
Must comply with all applicable State and Federal laws, rules, and regulations for submitting protected health information (PHI), personally identifiable information (PII) and federal tax information (FTI) electronically and must set up a secure email system that is password protected for both sending and receiving any PHI, PII and/or FTI.
Must utilize an access management function that restricts access to varying levels of system functionality and information.
Must restrict access to information on a "least privilege basis (e.g., users who are permitted inquiry privileges only will not be permitted to modify information).
Must restrict access to specific system functions and information based on an individual user profile, including inquiry only capabilities. Access to all functions must be restricted to specified staff, with approval of the State.
Must restrict unsuccessful attempts to access system functions to three attempts, with a system function that automatically prevents further access attempts and records those occurrences.
Must provide for the physical safeguarding of its data processing facilities and the systems and information housed within those facilities. The DMA must provide the State with access to data facilities on request. The physical security provisions must be in effect for the duration of this contract.

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Operations Privacy and Security
Must restrict perimeter access to equipment sites, processing areas, and storage areas through a key card or other comparable system, as well as provide accountability control to record access attempts, including attempts of unauthorized access.
Must include physical security features designed to safeguard processor site(s) including fire-retardant capabilities, as well as smoke and electrical alarms, monitored by security personnel.
Must put in place procedures, measures, and technical security to prohibit unauthorized access to the regions of the data communications network inside the DMA's span of control. This includes but is not limited to ensuring that no provider or member services applications can be directly accessible over the internet and must be appropriately isolated to ensure appropriate access.
Must ensure that remote access users of its information system can only access these systems through two-factor user authentication and by methods including VPN, which must be approved in writing and in advance by the State.
Must comply with recognized industry standards governing security of State and Federal automated data processing systems and information processing. At a minimum, the Contractor must conduct a security risk assessment and communicate the results in an information system security plan provided prior to the start date of operations. This risk assessment must also be made available to appropriate State and Federal agencies.
Must develop and submit a Privacy and Security Management Plan within thirty-five (35) business days after contract execution, which includes an overall approach for establishing and maintaining security that meets all state and federal requirements, including Federal Tax Information and HIPAA, and protects against unauthorized access.
Must develop and implement methods that ensure security for all components of the system including environmental security, physical site security, computer hardware security, computer software security, data access and storage, client/user security, telecommunications security, and Network security.
Must develop and implement a process for documenting, tracking, monitoring and reporting security issues to the State.
Must support security authorization and authentication of the user.
Must provide identity management features that assign a unique user ID and password to all users
Must manage user profiles, including enforcing role-based security access to system data and functions
Must allow users to recover/reset lost passwords from a portal interface following industry best-practices.
Must support the ability to disable user accounts and ensure no disabled accounts can log in or access the system.
Must support the automatic disabling of user accounts if failed logins exceed a configurable threshold.
Must automatically log off authenticated users after a configurable period of inactivity and display a warning message to the user prior to session timeout.
Must support the saving of user profiles for archival purposes, including the ability to re-enable/reuse the profile.
Must generate automatic alerts to system administrators when a breach pattern or unauthorized use activity is detected.
Must provide appropriate encryption mechanisms to protect the confidentiality and integrity of critical data, including but not limited to passwords, social security numbers and bank account numbers.
Must encrypt sensitive data in transit (including emails) to protect data confidentiality and integrity as appropriate based on the sensitivity of data.
Must support the latest version of Security Sockets Layer (SSL)/Transport Layer Security.

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Operations Privacy and Security
Must prevent the creation of duplicate accounts.
Must support the use HTTPS/SSL for connections between interfaces.
Must inform the state of any potential, suspected, or confirmed breach immediately upon contractor becoming aware.
Must provide initial and ongoing privacy and security training to all employees and contract personnel assigned to the project prior to providing access to PHI.
Must take all reasonable industry recognized methods to secure the system from un-authorized access.
Must de-identify data for testing.
Must submit an annual independent security audit each year. The audit must cover its internal controls and other system functions within the Contractor's span of control. The cost of the audit must be borne by the Contractor, not the State.
Must provide an exact copy of the annual independent security audit report within thirty (30) days of completion. The State will use the findings and recommendations of each report as part of its monitoring process.
Must deliver to the State a corrective action plan to address deficiencies identified during the audit process within 10 business days of receipt of the audit report.
Must include in audit requirements the applicable subcontractors or vendors delegated any responsibilities related to the DMA's information systems obligations. The cost of the audit must be borne by the Contractor or subcontractor, not the State.
Must support and integrate with the State's single-sign-on when and as applicable.

3. Proposal Expectations

The State expects that individual contractors will have proven organizational standards in place for Privacy and Security. Plans and methodologies will be evaluated and scored according to how well they fall in line with State's needs and expectations. Those with unique and innovative features, and additional advantages/benefits will be seen as reducing project risk and scored accordingly. Therefore, the Contractor must include the following in their proposal:

- Provide an approach, strategy, architecture, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of privacy and security control within the DMA environment.
- Provide an inventory, description, triggers, data model, usage scenarios and best practice recommendations for available privacy and security controls and events.
- Describe how the privacy and security controls and events are monitored and managed.
- Provide sample privacy and security documentation from a previous project.
- Describe the proposed privacy and security controls and events including usage scenarios and best practice recommendations for the DMA environment.
- Sample of a Privacy and Security plan, policies and procedures from a previous project.
- Description of how workforce security awareness is supported.
- Description of how state and federal privacy and security requirements are integrated into the solution including proposed security for data transmissions.
- Description of security and privacy compliance testing.
- Listing of security tools, hardware and software to be used and how they integrate to form a comprehensive security architecture.
- Description of encryption schemes, how those schemes can be extended into the system architecture, and the plan to incorporate greater encryption requirements in the future.

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- Description of how data access and data security is managed and what structures, protocols and tools are used to maintain controlled access, flexibility and efficiency.
- Describe the approach to monitoring attempted security violations and the actions that will be taken when breaches and security violation attempts are made.
- Describe the methodology, approach and process used to protect PHI.

N. Business Architecture Overview

1. General

a. Overview

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

b. Requirements

The Contractor must meet the following requirements:

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

c. Proposal Expectations

It is expected that the Contractor will have proven methodologies for managing the scope of the State’s business architecture requirements. Therefore, the Contractor must include the following in the proposal:

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

2. Reporting and Analytics

a. Overview

The State intends to use the reporting and analytics components of the DMA solution to manage the existing programs. The State will also use these components to analyze the data that will be used to prepare for the program of the future. The reports defined in this section refer to the static reports needed for day-to-day operations, the need for ad hoc reporting capabilities that are specific to an isolated area of interest, federal reporting requirements and the analytic reports needed to evaluate and make program decisions.

b. Requirements

Contractor must meet the following requirements:

Reporting and Analytics
Must provide proven, high quality reporting and analytic capabilities that leverage an industry-leading suite of reporting and business intelligence tools.
Must provide a reporting and analytic tool that is easily configurable by the average user.
Must work with the State to identify and develop requirements for reports and analytics for the DMA solution, including mechanisms and methodologies for each.
Must provide, implement, and maintain the reports, analytics, and associated catalogue/index/metadata based on State approved requirements for the DMA solution, including mechanisms and methodologies for each.

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Reporting and Analytics
Must produce and distribute all production reports and analytics within the timeframes and according to the format, input parameters, content, frequency, media, and number of copies specified by the State.
Must generate system activity, balancing and error reports as defined by the State and as requested by the State

c. Proposal Expectations

The State expects that the contractor will have proven reporting and analytic tools that have been implemented and used in other state Medicaid and private health plan environments. Those solutions with proven industry leading capabilities will be considered important added value for the Nebraska Medicaid program. Therefore, the Contractor must include the following in the proposal:

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

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

a. Overview

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

b. Requirements

The contractor must meet the following minimum requirements.

Creating, managing, and performing statistical analysis, forecasting, and predictive analytics
Must track all variable data in the database resulting in the provision of statistical analysis, forecasting, and predictive analytics and deliver results to the State on a frequency as determined by the State.
Must provide contractor pre-defined and future predictive algorithms to the State on a frequency as determined by the State
Must identify, interrogate, monitor, assess and categorize various variable data in the database resulting in the provision of statistical analysis, forecasting, and predictive analytics.
Must manage the results of statistical analysis, forecasting, and predictive analytics to meet state and federal guidelines and laws.
Must provide interpretation, guidance and training to State users regarding predictive algorithms and other results of statistical analysis, forecasting, and predictive analytics.

c. Proposal Expectations

The State expects that individual contractors will have methodologies, tools and procedures in place for statistical analysis, forecasting and predictive analytics. Evaluation and scoring will be based on how well the needs of the State are met. The State expects the contractor to include in their proposal:

- Description of the methodology, approach and procedures used to manage and perform statistical analysis, forecasting, and predictive analytics
- Description of the methodology, approach and procedures used to create new statistical analysis, forecasting, and predictive analytics
- Provide five samples of statistical analysis from a recent previous project

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- Provide five samples of forecasting from a recent previous project
- Provide five samples of predictive analytics from a recent previous project

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

a. Overview

The State requires the capability to create reports and execute queries as needed throughout the course of the contract. Required reports may be found in the Bidders Library. The State reserves the right to modify existing reports and add new reports, as well as redefine usages and formats of those reports listed as long as the number of reports is not increased. The State requires the capability to create reports on an ad-hoc basis utilizing the data provided by the State to be maintained in the proposed solution. The State anticipates reporting on the following data sections and sub sections.

Data Section	Data Sub Sections
Member	Eligibility Enrollment Benefit Plan Demographics Grievance/Appeal Profile Application Health Plan Selection/PCP Restrictions and Sanctions TPL Case Management
Provider	Enrollment Eligibility Demographics Grievance/Appeal Credentials Profile Health Plan Participation Verification/Validation Restrictions/Sanctions Applications Ownership/Management Case Management Provider Billing Agent
Care Management	Authorizations Encounters/Services Diagnosis Registries Treatment Plan/Plan of Care Level of Care Preadmission Screening
Performance	Health Plan Measures and Metrics Provider Measures and Metrics Contractor Measures and Metrics Contractor Penalties/Damages
Operations	Encounters Claims Adjudication Invoices Spendedown/Share of Cost Remittance
Business Relationship	Memorandum of Understanding (MOU) Agreements Intergovernmental Agency Agreements Trading Partner Agreements Medicaid Contracts

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Data Section	Data Sub Sections
Financial	Payables Payment Capitation Drug Rebate Receipt/Revenue Receivables Refund Repayment Agreements Budget Cost Centers Match Rates
Reference	Diagnosis Codes/DRG Internal Error and Reason Codes Procedure/Service Code/Modifiers CBSA (Core Based Statistical Area) Number First Data Bank Drug File Physician NDC Codes Formulary Rate Place of Service Plan Benefit Plan Services HCPCS-NDC Crosswalk National Code Sets NUBC Code Sets Nebraska State Preferred Drug List

b. Requirements

The contractor must meet the following minimum requirements.

Managing and performing pre-defined queries & reporting
Must provide secure generation and on-line real-time access of all data sections and subsections (as identified in the overview) of pre-defined queries, ad-hoc and business reports on a timely basis to meet Federal, State and Contract requirements. Reference the Bidders Library for a list of required reports.
Must provide the ability to view, search, print and export into various formats (e.g. Excel, Word, charts, graphs) all data sections and subsections of pre-defined queries, ad-hoc and business reports.
Must allow authorized users to view results of filtered reports, ad-hoc and pre-defined query searches based on multiple or single criteria, with the ability to perform secondary and tertiary searches within the primary search results.
Must allow authorized users to view results of filtered reports, ad-hoc and user defined query searches based on multiple or single criteria, with the ability to perform secondary and tertiary searches within the primary search results.
Must create all CMS Federal Quarterly Reports including but not limited to: <ul style="list-style-type: none"> • TMSIS • CMS-64 • CMS64-EC • CMS64-21E • CMS-21 • CMS-21E • CMS-21B • CMS-37
Note: Nebraska CHIP program is a combined Medicaid Expansion and Separate CHIP. Also, managed care is operated under a 1915(b) waiver.
Must create all CMS Federal Annual reports including but not limited to: <ul style="list-style-type: none"> • CMS-416

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Managing and performing pre-defined queries & reporting
<ul style="list-style-type: none"> • CMS-372 reports for all active HCBS waivers.
Must create all new required Federal Reports as defined by CMS and the State.
Must provide dashboard solutions and performance management scorecards that are updated on a schedule defined by the state.
Must provide the flexibility to vary time periods for reporting purposes and to produce reports on any frequency specified by the State.
Must store and maintain pre-defined business reports for a period specified by the State.
Must provide the ability to save ad-hoc and query results for a period specified by the State.
Must provide, implement, and maintain State approved processes and methods to support the management of a dynamic information request practice that includes pre-defined and ad hoc reports and analytics.
Must provide, implement, and maintain State approved pre-defined reports and supporting documentation that meet State and Federal specifications.
Must provide, implement, and maintain the DMA report catalog, analytics catalog, and data dictionary that includes relationship and reference mapping. This information must be available in electronic searchable format and exportable to support print formats.
Must document and provide verification of pre-defined reports' accuracy and validity on an annual basis.
Must provide, implement, and maintain State approved algorithms and supporting documentation utilized within the DMA.
Must provide, implement, and maintain a State approved Communication Plan regarding DMA system and data events, information on known data issues, and status updates.
Must provide support services to provide, implement, and maintain analytics and reports of complexity levels outside the scope of State staff knowledge and training levels.

c. Proposal Expectations

The State expects that individual contractors will have methodologies, tools and procedures in place for managing and performing pre-defined and ad hoc queries and reports. Evaluation and scoring will be based on how well the proposed documentation meets the needs of the State during the Operations phase. The contractor must include the following in their proposal:

- Description of the internal methodology, approach and procedures used to manage pre-defined queries and reports.
- Description of procedures used to create new pre-defined queries and reports.
- Description of procedures used to create new ad-hoc queries and reports.
- Provide an approach, strategy, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of the reporting and analytics practice in coordination with the proposed Contractor services.
- Description of how the Contractor expects to incorporate pre-defined and ad hoc reports and analytics within the DMA based on specifications and assumptions derived from the RFP.

5. Program Integrity

a. Overview

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

b. Requirements

The contractor must meet the following minimum requirements.

Program Integrity
Must provide a configurable rules-engine that identifies potential incidents of fraud, waste, abuse and erroneous payments.

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Program Integrity
Must develop, update and maintain an algorithm library throughout the life of the contract.
Must allow authorized users to create, modify, and run the rules and algorithms with limited or no technical support.
Must incorporate link analysis of providers and members where relationships extend beyond provider to provider relationships (e.g. interwoven relationships between providers, members, owners, addresses).
Must provide a subject matter expert, who understands the algorithms used to extract data, to testify and support an administrative State or Federal action, and the appeals process.
Must provide predictive modeling and early warning capabilities and analytics for detecting fraud, waste, abuse and erroneous payments.
Must include application training modules including self-paced computer-based modules, web-based training, application tutorials, and searchable help features for authorized users.
Must implement, maintain and operate a configurable and certified SUR subsystem according to Department business rules.
Must profile provider groups, independent/solo providers, and individual providers within group practices.
Must perform analysis of rendering, attending, admitting, supervising, ordering and prescribing provider's billing practices to generate reports of aberrant utilization patterns.
Must apply clinically approved guidelines against episodes of care to identify instances of treatment inconsistent with guidelines.
Must perform all analysis using both claims and encounter records.
Must link all services of any member based on all historical member ID numbers.
Must profile all services provided to a member during a single episode of care.
Must utilize a minimal level of manual effort in providing information that reveals potential defects in level of care and quality of service.
Must suppress processing on an individual(s) within specified categories on a run-to-run basis.
Must support pattern recognition and provide an automated fraud and abuse profiling system for the ongoing monitoring of provider and member claims to detect patterns of potential fraud, waste, abuse and excessive billing.
Must update all reference data based on a schedule agreed upon with State.(e.g. claims, provider, member)
Must maintain a process to apply weighting and ranking of those exception report items identified by the State.
Must exempt individual and mass adjustments or voids from SURS profiles and reports based on configurable rules.
Must recommend members for referral to restricted access programs.
Must perform "absence of" scenario analysis (null testing).
Must provide statistical models to support simple random and stratified random sampling and extrapolation that complies with generally accepted statistical audit and governmental accounting standards.

c. Proposal Expectations

The State's expectation is that the Contractor must include the following in the proposal:

- Describe how their proposal will meet the requirements of this section.
- Describe the features that identify potential fraud, waste, abuse, and erroneous payments.
- Described the algorithms currently available and the development process for new algorithms.
- Describe how certain types of claims, adjustments, or voids can be excluded from reporting.
- Provide examples of how the incidents of fraud, waste, abuse, or erroneous payments will be presented.
- Describe how effective detection systems and exception profiling have supported previous similar efforts leading up to a provider refund or conviction for health care fraud.

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6. Case Management

a. General

i. Overview

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

ii. Requirements

The contractor must meet the following minimum requirements.

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

iii. Proposal Expectations

The contractor must provide the following:

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

b. Case Identification and Creation

i. Overview

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

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

ii. Requirements

The case management tool must meet the following minimum requirements.

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

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iii. Proposal Expectations

The State expects the contractors to include in their proposals:

- Description of the proposed strategy, methodology and capabilities for receiving, coordinating and distributing referrals for investigation
- Description of the ability to weight characteristics of a case to assist in assignment for investigation
- Description/Demonstration/Sample of assignment criteria/queues and the steps to remove a case from the queue
- Description of case comparison capabilities
- Examples of case assignment configurability available in the proposed solution
- Sample templates showing examples of auto-populated fields, describing the process by which it is determined which fields can be auto-populated

c. Manage Case Information

i. Overview

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

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

ii. Requirements

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

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

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Manage Case Information
Provider Screening & Enrollment, Eligibility and Enrollment System, Special Investigation Unit) and/or investigator(s).
Must provide workflow functionality to enable automated distribution of cases, alerts and notifications to designated work queues and processing.
Must provide functionality to establish and modify workload distribution to manage workloads on an as needed basis.
Must incorporate tools such as a spell-check option for all free-form data entry fields and use drop-down menus for common data elements such as date fields and provider types.
Must modify and adapt case management processes, procedures and functionality to business process changes and maintain up to date functionality with minimal impact to users.
Must provide training to all current and new users initially and when upgrades are implemented and/or when processes, procedures and/or functionality changes.
Must provide user manuals with updates as appropriate.
Must provide on-line help for all features, functions and data element fields.
Must allow for users to see all assigned cases and identify all of their open cases and those which have deadlines that are approaching or have passed.
Must update multiple cases in a project by selecting certain cases from the system, selecting a particular activity, and updating all cases simultaneously.
Must provide for on-line review and approval by management of key steps within the case investigation process.
Must provide a structured workflow process that does not allow steps to be skipped without proper authorization.
Must manage case information in a logical, chronological format.
Must maintain functionality to create and export comprehensive case records to multiple external media based on configurable business rules.

iii. Proposal Expectations

The State expects that individual contractors will have proven case management workflows and processes already established. Therefore, the State expects the contractors to include in their proposals:

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

d. Audit Cases

i. Overview

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

ii. Requirements

The contractor must meet the following minimum requirements.

Audit Cases

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

iii. Proposal Expectations

The State expects that bidders will have established audit trail capabilities and auditing functions for compliance and quality improvement. Therefore, the Contractor must include in the proposal:

- Sample of case file audit trail.
- Description and sample of case file audit history
- Description and sample of available reporting capabilities and the configurability of these capabilities
- Description of quality improvement elements of the tool

7. Encounter Processing

a. Overview

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

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

In addition, MLTC plans to contract with one of its Managed Care Organizations to process FFS claims at some time in the future. When that occurs, FFS claims will no longer be transferred to the data warehouse via the MMIS, but will be transferred directly from the MCO that processes those claims.

b. Requirements

The contractor must meet the following minimum requirements.

Encounter Processing Requirements
Must process and load encounter and FFS claims to the data warehouse received in HIPAA and NCPDP standard formats as applicable by claim type.
Must validate that encounter and FFS claims are in compliance with HIPAA and NCPDP standards and operating rules as applicable by claim type.
Must perform integrity edits as directed by the State.
Must maintain all applicable reference files for encounter processing purposes.
Must maintain a method to distinguish between encounter and FFS claim records.
Must reject claims that fail compliance edits.
Must flag, capture and report on encounters and claims that fail integrity edits.
Must support a workflow and method to work with the MCO for submission of a corrected encounter claim.
Must provide a detailed integrity edit report describing the reason for the integrity flag and work with MCO to resolve and resubmit.
Must provide management reconciliation reports for rejected encounters and claims resolution.

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Encounter Processing Requirements
Must provide online work queues for flagged claims resolution.
Must capture and report on other types of payment records such as Kick Payments.
Must report on content of the database via dashboards, static and ad-hoc reports.
Must report on the activity of encounter and claim receipts.

c. Proposal Expectations

The contractor must provide the following in the proposal:

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

O. Information and Technical Architecture

1. General

a. Overview

The State expects the Contractor to provide and manage the DMA information and technical architectures and its operations including all related conceptual and logical mechanisms. The State is not mandating any particular architectural pattern or solution for the DMA. However, the DMA information and technical architectures must reflect design principles associated with high quality, service-oriented, industry best-practices and trends. The DMA information and technical architectures must be agile, elastic, and configurable to effectively incorporate and interoperate with applications, services, and data in alignment and in support of the State's Medicaid operations.

b. Requirements

The Contractor must meet the following minimum requirements.

DMA Information and Technical Architecture
Must provide, implement, and maintain a State approved DMA information and technical architecture that provides architecture views using architectural standards including alignment to all DMA related components of business, technology, and information.
Must work with the State to identify and develop requirements for services in the context of service oriented architecture (SOA) for the DMA solution, including mechanisms and methodologies for each.
Must provide, implement, and maintain the State approved services in the context of service oriented architecture (SOA) for the DMA solution, including mechanisms and methodologies for each.
Must provide, implement, and maintain a State approved services catalogue and services registry that describes the services provided and details the performance (time and quality service levels), functionality (a description of the inputs, outputs and transformation provided by the service), costs (and cost model), and delivery model (how the service is provided).
Must support the State in the alignment of the DMA with the MITA Framework and its capability/maturity model, CMS Seven Standards and Conditions, industry standards, and other nationally recognized standards for information and technology.
Must ensure that the DMA solution meets the requirements of this RFP, and all applicable state and federal laws, rules and regulations, including Medicaid confidentiality, and HIPAA, American Recovery and Reinvestment Act (ARRA), Patient Protection and Affordable Care Act (PPACA) privacy and security requirements.
Must demonstrate high levels of capability/maturity with respect to service orientation, interoperability, and data exchange.
Must provide applications, operating software, middleware, and networking hardware and software that is able to interoperate as needed with the State's systems and must conform to applicable standards and specifications set by the State.
Must comply with Section 508 of the Federal Rehabilitation Act and the World Wide WDMA Consortium (W3C), WDMA Accessibility Initiative, Section 508 (a)(1)(A)

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

c. Proposal Expectations

The State expects the Contractor to have an established and proven information and technical architecture and associated architectural management process. Information in this regard will be evaluated and scored accordingly. Therefore, the Contractor must include the following in the proposal:

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

2. Data Management

a. Overview

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

b. Requirements

The Contractor must meet the following minimum requirements.

DMA Data Management
Must provide, implement, and maintain a State approved Data Management Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.

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

c. Proposal Expectations

The State expects the Contractor to have established and proven capabilities and processes for data management. Information in this regard will be evaluated and scored accordingly. Therefore, the Contractor must include the following in the proposal:

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

3. Data Governance

a. Overview

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

b. Requirements

The Contractor must meet the following minimum requirements.

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

c. Proposal Expectations

The State expects the Contractor to have established and proven capabilities and processes for data governance. Information in this regard will be evaluated and scored accordingly. Therefore, the Contractor must include the following in the proposal:

- Provide an approach, strategy, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of data governance for the DMA environment.
- Provide a sample data governance plan from a previous project.

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4. Master Data Management

a. Overview

The State expects the Contractor to provide Master Data Management (MDM) capabilities and process to reduce redundancy, remove duplicates, standardize data, and eliminate incorrect data from entering the DMA in order to create an authoritative source of master data. The Contractor will work with the State to structure the DMA MDM framework, policy, and procedures in concert with the Data Governance activities in Section 4.16.1.1.

b. Requirements

The Contractor must meet the following minimum requirements.

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

c. Proposal Expectations

The State expects the Contractor to have established and proven capabilities and processes for MDM. Information in this regard will be evaluated and scored accordingly. Therefore, the Contractor must include the following in the proposal:

- Provide an approach, strategy, architecture, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of Master Data Management (MDM) for the DMA environment.
- Provide a sample Master Data Management (MDM) plan from a previous project.

5. Data Models

a. Overview

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

b. Requirements

The contractor must meet the following minimum requirements.

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

c. Proposal Expectations

The State expects the Contractor to have established and proven capabilities and processes for State Medicaid data model management. Information in this regard will be evaluated and scored accordingly. Therefore, the Contractor must include the following in the proposal:

- Provide an approach, strategy, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of data modeling for the DMA environment.

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- Provide a comprehensive data model that includes sample documentation and illustration of the data to include, but not limited to, data elements, data dimensions, structures and their relationships that will be used for this project.
- Provide sample data models and supporting documentation from a previous project.

6. Data Integration

a. Overview

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

b. Requirements

The contractor must meet the following minimum requirements.

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

c. Proposal Expectations

The State expects the Contractor to have established and proven capabilities and processes for data integration. Information in this regard will be evaluated and scored accordingly. Therefore, the Contractor must include the following in the proposal:

- Provide an approach, strategy, architecture, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of data integration for the DMA environment.
- Provide a comprehensive data integration architecture that includes sample documentation and illustration of data integrations that will be used for this project.
- Provide information that quantifies the implementation (building, testing, and deploying) of new and/or modified data integration.
- Provide a sample Data Integration Plan from a previous project.

7. Data Sharing

a. Overview

The State expects the Contractor to provide and manage the DMA data sharing architecture and its operations including the conceptual and logical mechanisms used for data sharing (e.g. ESB, API's, data hubs, repositories, registries). Data sharing must also address data semantics, data harmonization strategies, shared-data ownership, compliance, security & privacy, and the quality assurance of shared data.

b. Requirements

The contractor must meet the following minimum requirements.

Data Sharing
Must provide, implement, and maintain a State approved Data Sharing Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.
Must support data semantics, data harmonization strategies, shared-data ownership, compliance, security & privacy, and the quality assurance of shared data as defined in the Data Sharing Plan.
Must provide, implement, and maintain middleware (e.g., ESB/interface/integration engine) that enables DMA to effectively exchange information with the State trading partners as defined in the Data Sharing Plan.
Must provide, implement, and maintain middleware (e.g., ESB/interface/integration engine) that streamlines the

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Data Sharing
building, testing, and deploying of new and/or modified data exchanges.
Must support the State in the adoption of national mechanisms used for data sharing (i.e., data hubs, repositories, and registries).
Must communicate with the State over a secure virtual private network (VPN) as needed.
Must transmit and receive data in compliance with all applicable Federal (including but not limited to HIPAA), and State standards and mandates, both currently and in the future.
Must provide a flexible framework that allows the import and export of data using industry standard file transmission protocols.
Must support open standards and industry standard protocols, such as Secure File Transfer (SFTP), SOAP over HTTPS and JMS/MO messages

c. Proposal Expectations

The State expects the Contractor to have established and proven capabilities and processes for data sharing. Information in this regard will be evaluated and scored accordingly. Therefore, the Contractor must include the following in the proposal:

- Provide an approach, strategy, architecture, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of data sharing for the DMA environment. Information on the State's current data exchanges and interfaces are described in Section 4.16.2.2 Data Exchanges & Interfaces.
- Provide a comprehensive data sharing architecture that includes sample documentation and illustration of standard transaction formats and registries that will be used for this project.
- Provide recommended Data Sharing SLA's (e.g. transmission rate, error rate) and supporting information and options.
- Provide information that quantifies the implementation (building, testing, and deploying) of new and/or modified data sharing exchanges.
- Provide a sample Data Sharing Plan from a previous project.

8. Data Exchanges & Interfaces

a. Overview

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

b. Requirements

The contractor must meet the following minimum requirements.

Data Exchanges & Interfaces
Must work with the State and the State trading partners to identify and establish the optimal data exchanges and interfaces for the DMA solution, including mechanisms and methodologies for each data exchange and interface.
Must develop, implement, and maintain State approved Interface Control Documents (ICDs) that provide specifications and SLA's for each data exchange and interface.
Must develop, implement, and maintain a State approved catalogue of Interface Control Documents (ICDs).
Must transmit all appropriate data through the State data exchanges and interfaces as specified in the Interface Control Document.
Must provide the capability to interface with existing and future systems via batch file transfers and transactionally via standard service.
Must work with the State to develop and support an effective data exchange between the DMA and all stakeholders involved in the DMA business processes, including the State.
Must send and receive files and transactions, in formats and methods specified by the State.

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Data Exchanges & Interfaces
Must receive and investigate any discrepancies on data exchanges.
Must provide the ability to send and receive batch interfaces with the current MMIS solution.
Must support real time interfaces/service calls to interoperate and transfer data between the DMA and other systems (e.g. the new NTRAC eligibility system once implemented).
Must provide the ability to import data into the system in multiple formats (e.g. XML, csv, fixed length, ASCII, tab-delimited)
Must provide proof of data transfer capabilities verified in writing by the State. Proof must constitute the successful transfer of test files via EDI and other agreed upon transfer mechanisms, and that meet the State file format and transfer protocol requirements.

c. Proposal Expectations

The State expects the Contractor to have established and proven data exchanges and interfaces for much of the proposed DMA solution based on industry standards and existing implementations. The State expects the vendor to provide clarity on approach and scope to achieve optimization of the data exchanges and interfaces, both existing and new. Information in this regard will be evaluated and scored accordingly. Therefore, the Contractor must include the following in the proposal:

- Provide an approach, strategy, architecture, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of data exchanges and interfaces for the DMA environment. This approach should be consistent with Section 4.16.2.1 DMA Data Sharing.
- Provide information that quantifies the implementation (building, testing, and deploying) of the proposed and any future data exchanges and interfaces. The State seeks to understand how the Contractor organizes level of effort estimates in this regard.
- Provide a sample Interface Control Document(s) (ICDs) from a previous project.

9. Data Transformation

a. Overview

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

b. Requirements

The contractor must meet the following minimum requirements.

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

c. Proposal Expectations

The State expects the Contractor to have established and proven data transformations applicable for the proposed DMA solution based on industry standards and existing implementations. The State expects the vendor to provide clarity on approach and scope to achieve optimization of the data transformations, both existing and new. Information in this regard will be evaluated and scored accordingly. Therefore, the Contractor must include the following in the proposal:

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

10. Enterprise Data Warehouse (EDW)

a. General

i. Overview

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

ii. Requirements

The Contractor must meet the following minimum requirements.

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

iii. Proposal Expectations

The State expects the Contractor to have an established and proven EDW and associated management processes. Information in this regard will be evaluated and scored accordingly. Therefore, the Contractor must include the following in the proposal:

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

b. EDW Architecture

i. Overview

The State expects the Contractor to provide and manage the DMA EDW architecture and its operations including all related conceptual and logical mechanisms. The EDW architecture must address data semantics, data harmonization strategies, data ownership, compliance, security & privacy, and the quality assurance of EDW data. The State is not mandating any particular EDW architectural pattern or solution. However, the EDW architecture must reflect design principles associated with high quality, service-oriented, industry best-practices and trends. The

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EDW architecture must be agile, elastic, and configurable to effectively incorporate new and seemingly unrelated data from data sources in support of the State’s business and analytic activities.

ii. Requirements

The contractor must meet the following minimum requirements.

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

iii. Proposal Expectations

The State expects the Contractor to have an established and proven EDW architecture and associated architectural management process. Information in this regard will be evaluated and scored accordingly. Therefore, the Contractor must include the following in the proposal:

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

c. EDW Tools and Methods

i. Overview

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

ii. Requirements

The Contractor must meet the following minimum requirements.

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

iii. Proposal Expectations

The State expects the Contractor to have established and proven EDW tools and methods. Information in this regard will be evaluated and scored accordingly. Therefore, the Contractor must include the following in the proposal:

- List and describe the proposed EDW tools and methods that meet each of the aforementioned requirements. Provide screenshots where applicable.

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

11. Reporting and Analytics Tools and Methods

a. Overview

The State expects the Contractor to provide capabilities and support for reporting and analytics tools and methods to support the business as described throughout the RFP. The State expects support for traditional, statistical, cluster, predictive, prescriptive, sampling, extrapolation, trending, and geospatial reporting and analytics. Format, visualization, and data manipulation capabilities must include, but are not limited to, data transformations, algorithms, scorecards, dashboards, dynamic filtering, and drill downs.

b. Requirements

The contractor must meet the following minimum requirements.

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

c. Proposal Expectations

The State expects the Contractor to have established and proven reporting and analytics tools and methods. Information in this regard will be evaluated and scored accordingly. Therefore, the Contractor must include the following in the proposal:

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

12. Rules Engine & Rules Management

a. Overview

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

b. Requirements

The contractor must meet the following minimum requirements.

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

c. Proposal Expectations

The State expects the Contractor to have an established and proven rules engine architecture and associated rules management process. Information in this regard will be evaluated and scored accordingly. Therefore, the Contractor must include the following in the proposal:

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

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13. DMA Auditing and Controls

a. Overview

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

b. Requirements

The Contractor must meet the following minimum requirements.

DMA Auditing and Control
Must provide, implement, and maintain a State approved DMA Audit and Control Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.
Must track, log, and provide reporting on, in human readable format, data changes including State approved audit information such as the date, time and user or system making the change.
Must track, log, and provide reporting on, in human readable format, inquiries, views, reports, or access of data that may require such tracking as a result of law, policy, or data use agreements including State approved audit information such as the date, time and user or system initiating the transaction.
Must provide controls including preventive controls (i.e. controls designed to prevent errors and unauthorized events from occurring), detective controls (i.e. controls designed to identify errors and unauthorized transactions which have occurred in the system), and corrective controls (controls to ensure the correction of problems identified by detective controls).
Must support the State during all external audits, reviews and collaborations such as Medi-Medi, PERM, TMSIS, OIG and Medicaid Integrity Contractor (MIC). Support includes capturing and providing all data required to comply with such audits as defined by the State within the required time frames.
Must work with the State to provide external auditors access to data and participate in the audits as required by the State.
Must document and store DMA data and maintain electronic audit trails throughout the data lineage.
Must make system information available to duly authorized representatives of the State and other State or Federal agencies to evaluate, through inspections or other means, the quality, appropriateness, and timeliness of services performed.
Must incorporate audit trails into all systems to allow information about source data files and documents to be traced through the processing stages to the point at which the information is finally recorded.
Must support audit trail information for all transactions (user and system initiated) that includes the user, date/time and before/after values of data affected by the transaction and, if applicable, the ID of the system job that effected the action.
Must provide the date and identification “stamp” displayed on any online inquiry.
Must provide the ability to trace data from the final place of recording back to its source data file or document.
Must support audit listings, transaction reports, update reports, transaction logs, or error logs.
Must facilitate auditing of individual records as well as batch audits.
Must maintain audit information online for no less than two years and be retrievable within 48 hours.
Must capture and retain the data that was used at the point in time that a particular action took place. Subsequent changes to data elements should not overwrite the values used to make a determination in the past
Must provide inherent functionality that prevents the alteration of finalized audit records.
Must maintain a comprehensive audit trail of systematic and physical access to PHI, PII and FTI.
Must track and retain a log of all successful and unsuccessful logins.
Must provide online retrieval and access to documents and files for six years in live systems and ten years in archival systems, for audit and reporting purposes.

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DMA Auditing and Control
Must provide 48-hour turnaround or shorter for requests for access to information that is six years old, and 72-hour turnaround or shorter for requests for access to information in machine readable form, that is between six and ten years old.
Must preserve data to support an audit or administrative, civil, or criminal investigation or prosecution in progress; or audit findings or administrative, civil, or criminal investigations or prosecutions are unresolved; then, information must be kept in electronic form until all tasks or proceedings are completed.
Must retain historical data submission for a period not less than six years, following generally accepted retention guidelines.

c. Proposal Expectations

The State expects the Contractor to have established and proven auditing capabilities and functionality for the proposed DMA solution based on industry standards and existing implementations. The State expects the vendor to provide clarity on approach and scope of auditing to achieve optimization of security, compliance, and system performance. Information in this regard will be evaluated and scored accordingly. Therefore, the State expects the Contractor to include in their proposal:

- Provide an approach, strategy, architecture, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of auditing and control within the DMA environment.
- Provide an inventory, description, triggers, data model, usage scenarios and best practice recommendations for available auditable and control events.
- Describe how the audit trail and controls are monitored and managed.
- Provide sample audit trails and reports from a previous project.
- Describe the proposed DMA controls including usage scenarios and best practice recommendations for the DMA environment.

14. DMA Infrastructure and Solution Lifecycle Management

a. Overview

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

b. Requirements

The Contractor must meet the following minimum requirements.

DMA Infrastructure and Solution Lifecycle Management
Must provide, implement, and maintain a State approved Infrastructure and Solution Lifecycle Management (ISLM) Plan that includes approach, strategy, methodology, process, tools, resourcing, quality and contingency aspects to manage, track, validate, support, and enforce the specific development and implementation processes for delivering and maintaining the DMA solution, system components, and artifacts.
Must provide and maintain all DMA environments (e.g., development, training, production) including licenses applicable for the DMA solution and designated DMA users.
Must provide and maintain, capacity sufficient to handle the workload projected for the initial date of operations and must be scalable and flexible so that it can be adapted as needed, within negotiated timeframes, in response to allow for growth in participation volume.
Must provide 100% accessibility via the internet and require no desktop software (including specialized plug ins and applets) except for a commercially available web browser.

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DMA Infrastructure and Solution Lifecycle Management
Must meet all American with Disabilities Act (ADA) and Limited English Proficiency (LEP) requirements
Must ensure systems software used by the system (e.g., operating system, databases, web servers, and network management) must be a version that is currently supported under standard maintenance agreements and is generally available during the life of the contract.
Must provide availability to systems applications and telecommunications during hours specified by the State;
Must detect, track, monitor, and report on processing errors as a result of daily, weekly, monthly processing;
Must ensure that all data systems are kept up-to-date, accurate and accessible to the State and/or its agents for inspection, upon request.
Must ensure that bandwidth is sufficient to meet the performance requirements of this RFP.
Must be responsible for all initial and recurring costs required for access to the State system(s), access to managed care entities and their trading partners, as well as the State access to the DMA's system(s). These costs include, but are not limited to, hardware, software, licensing, authority/permission to utilize any patents, annual maintenance, support, and connectivity with the State, the managed care entity and its trading partners.
Must provide a continuously available electronic mail communication link (email system) to facilitate communication with the State. This email system must be capable of attaching and sending documents created using software compatible with the State's installed version of Microsoft Office and any subsequent upgrades as adopted.
Must have in place written systems policies and procedures that document all manual and automated processes for its information systems, including the safeguarding of all its information.
Must ensure that the systems and processes within its span of control associated with its data exchanges with the State are available and operational according to specifications and the data exchange schedule.
Must respond in writing within five calendar days of notification from the State of a system issue.
Must resolve the system issue or provide a requirements analysis and specifications document within 15 calendar days.
Must correct system issues by the effective date to be approved by the State.
Must not schedule systems downtime to perform system maintenance, repair, or upgrade activities to occur during hours that could compromise or prevent critical business operations, unless otherwise agreed to in advance by the State.
Must work with the State on any testing initiative required by the State and must provide sufficient system access to allow the State staff to participate in the testing activities.
Must provide, implement, and maintain a State approved annual system refresh plan that must outline how information systems within the DMA's span of control will be systematically assessed to determine the need to modify, upgrade, or replace application software, operating hardware and software, telecommunications capabilities, or information management policies and procedures in response to changes in business requirements, technology obsolescence, staff turnover, or any other relevant issues.
Must provide, implement, and maintain a State approved annual system refresh plan that must indicate how the DMA will ensure that the version and/or release level of all information system components (application software, operating hardware, and operating software) are always formally supported by the original equipment manufacturer (OEM), software development firm (SDF), or a third party authorized to support the information system component.
Must provide, implement, maintain, and be continually ready to implement, a contingency plan to protect the availability, integrity, and security of data during unexpected failures or disasters (either natural or man-made), to continue essential application or information system functions during or immediately following the failure or disaster.

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c. Proposal Expectations

The State expects the Contractor to have an established and proven infrastructure and solution lifecycle management approach. Information in this regard will be evaluated and scored accordingly. Therefore, the State expects the Contractor to include in their proposal:

- Provide an approach, strategy, architecture, methodology, tools and resourcing that clearly articulates the initiation, management, and operations of the DMA solution software, hardware, and IT infrastructure. Include methods and tools for managing all system modifications, configurations, and customizations.
- Describe the approach for keeping software versions current and applying patches for security vulnerabilities including monitoring of version and patch availability, scheduling, implementing, and testing.
- Provide infrastructure environment information across all DMA environments (e.g., development, training, production) to include:
 - Hardware and infrastructure equipment type, brand, and specifications
 - Software type, brand, and specifications including whether owned or leased
 - Hardware and infrastructure locations
 - Software, hardware and infrastructure time in service
 - Hardware and infrastructure equipment maintenance strategies
 - Software, hardware and infrastructure support staff capability including the number and ratio of permanent and temporary staff; methodologies supported or trained; and whether staff is in-house or external
- Provide recommended ISLM SLA's and supporting information and options.
- Include all costs for the environments in the cost proposal.

V. Turnover

A. Phase Overview

1. Overview

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

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

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

2. Requirements

The Contractor must meet the following requirements:

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

3. Proposal Expectations

The State expects the Contractor's proposal to:

- Provide an overview and approach for turnover based on the Contractor's best-practices.
- Describe any intellectual property claimed and the contractor's approach and method to eliminate any impact to the intellectual property rights on the turnover to a designated successor.
- Propose the length of time in the contractor's estimation that is necessary for turnover to a successor. For example, if the contractor was taking over the operation of an existing contractor's data warehouse

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of the scope and complexity of the RFP, what timeframe would the contractor need to take over the operations.

B. Turnover Planning

1. Overview

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

2. Requirements

The Contractor must meet the following minimum requirements.

Turnover Planning
Must submit a Turnover Plan that includes strategy, methodology, process, tools, quality and contingency aspects within two years of the start of operations. The plan must include an inventory list of all materials that will be transitioned and an inventory list of all materials that will not be transitioned during the Turnover Phase.
Must produce and submit an updated Turnover Plan to the State for approval within 30 days of being informed by the State that the Turnover Phase is to begin.
Must include in the Turnover Plan at a minimum, the proposed approach, tasks, schedule, entrance and exit criteria, training, readiness walkthrough process, and documentation update procedures.
Must participate in planning sessions with the State and successor contractor during the turnover phase.

3. Proposal Expectations

The State expects the Contractor to have established and proven organizational procedures in place for performing turnover of the proposed solution. The State seeks to understand the Contractor's overall approach, assumptions, and processes that will be used in the turnover phase. Information in this regard will be evaluated and scored accordingly. Therefore, the State expects the Contractor to include the following in their proposal:

- Describe the approach to turnover strategy and methodology that clearly articulates the activities of the process. This includes the various stages and key aspects including the approach to inventory and cross reference of source and target turnover items; process for item extraction; tools needed to execute the turnover; and strategy for data quality assurance and control.
- Submit a template of the Turnover Plan that will be developed for the State when the turnover phase is initiated.
- Include examples of Turnover plans from a previous project.
- Explicitly identify proprietary items which the Contractor claims will not be provided in turnover, and document recommended mitigations to ensure these proprietary items do not negatively impact the turnover efforts.
- Based on lessons learned, provide a list of expected risks and include possible mitigation strategies.
- Expectations for State and successor contractor support of the turnover.

C. Project Management and Systems Development Lifecycle

1. Overview

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

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2. Requirements

The Contractor must meet the following minimum requirements:

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

3. Proposal Expectations

To understand and appropriately evaluate the Contractor’s approach and discipline in the Turnover process, the Contractor must:

- Submit examples of Turnover Management Plans from previous projects.
- Submit a template of the Turnover Requirements Document that will be developed for the State when the turnover phase is initiated.
- Submit examples of Turnover Requirements Document from previous projects.
- Describe risks which may impact the State and or new contractor during the turnover process.
- Provide two examples issues that were resolved on previous turnover efforts.

D. Performance and Status Reporting

1. Performance

a. Overview

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

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

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

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

In the event of a dispute of responsibility for the Contractor’s failure to meet performance requirements, the State may use the services of an independent party to analyze and determine where responsibility lies. If it is determined that responsibility does exist with the Contractor, then the Contractor must deduct the funds for both the missed measure and the cost of the analysis from its deliverable invoice.

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

b. Requirements

The Contractor must meet the following requirements:

Turnover – Performance
Must submit all turnover items on the turnover inventory list in accordance with the turnover work plan.
Must have required expertise available at turnover meetings as request by the State. The state must provide at least one business day notice except in emergency situations.
Must deduct any state required deductions from the contractor’s deliverable invoices.
Must develop and implement corrective action plans as requested by the state.

c. Proposal Expectations

The state’s expectation is that the Contractor must:

- Provide an overview of the Contractor’s approach to corrective actions.
- Describe the Contractor’s strategy and approach to resolving turnover performance issues.
- Provide the Contractor’s corrective action plan template including instructions and procedures for completing the template.
- Provide examples of similar corrective action plans used by previous projects.

2. Status Reporting

a. Overview

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

The anticipated minimum status reporting needs are:

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

b. Requirements

The Contractor must meet the following requirements:

Status Reporting
Must prepare and submit a weekly status report specific to turnover activities.
Must prepare and submit a monthly status report specific to turnover activities.

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

c. Proposal Expectations

The State’s expectation is that the Contractor must:

- Describe the Contractor’s methodology for capturing detailed project status on turnover related activities (i.e. scheduled tasks, risks, issues, staffing, communications, etc.) at a detailed level and reporting the information as needed based on audience.
- Describe the Contractor’s methods for determining and reporting overall project status. (i.e. determining whether a project is red, yellow, or green).
- Provide the Contractor’s status report templates including instructions and procedures for completing the templates.
- Provide examples of similar status reports used on previous projects.
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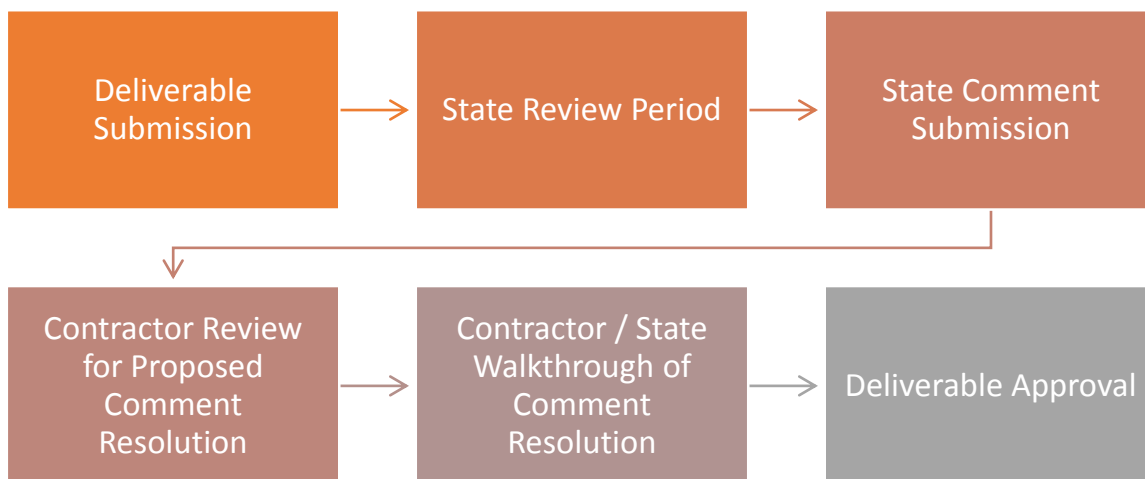
E. Close-Out Deliverables

1. Overview

At the end of the Turnover Phase, the State’s expectation is that the Contractor will have completed the maintenance mode for all contracted deliverables. The State reserves the right to withhold payments as described in section 5.4 for deliverables that have failed to meet requirements and/or due dates. The State reserves the right to request modification of the deliverables, if needed, prior to the State’s approval of the deliverable(s). Deliverable due dates may be modified, if approved in writing, in advance by the State.

a. Review and Approval

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



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

2. Requirements

The Contractor must meet the following requirements:

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

3. Proposal Expectations

a. Catalog

Complete the deliverable catalog provided in Attachment A for each deliverable the vendor proposed to provide in the Turnover Phase. Instructions for completing the Catalog are in the table below.

Column Heading	Instruction
IMS WBS ID	Provide the Work Breakdown Structure ID from the proposed IMS in this column.
Related Proposal Section	Include the section numbering of the proposal section in which the

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Column Heading	Instruction
	deliverable is referenced and described.
Deliverable Name	Provide the name of the deliverable. If the name of the deliverable is abbreviated in the IMS, please provide the IMS abbreviated task name in parenthesis. The deliverable name should match the deliverable name used in the Contractor's proposal sections.
Deliverable Description	Provide a summary description of the deliverable
Deliverable Type	Provide the type of deliverable in the catalog. The options for type are: <ul style="list-style-type: none"> • Document • Tested Product • Environment • Other
Frequency	Include the frequency of submission for the deliverable: <ul style="list-style-type: none"> • Singular – Deliverable has a singular point-in-time submission and is not intended to be maintained. For example, the DDI test plan may be singular depending on the Contractor's approach. • Weekly – Deliverable is regularly updated and provided on a weekly basis. An example would include a weekly status report. • Monthly - Deliverable is regularly updated and provided on a monthly basis. An example would include a monthly status report. • Quarterly - Deliverable is regularly updated and provided on a quarterly basis. An example would include a quarterly status report. • Yearly – Deliverable is updated on an annual basis. An example would include an annual business plan. • Change request – Deliverable is generally static unless a change request impacts the deliverable. An example would include a user manual.
Deliverable Size	The purpose for this column is to provide the state with understanding of the review effort that will be necessary for a deliverable. Provide the expected size of the deliverable. If the deliverable is a document, include the expected page volume. If the deliverable is tested product, provide the number of screens, rules, etc. If the deliverable is an Environment, the column is not applicable.
Deliverable Review Time	Provide the Contractor's proposed review time period for the state's initial review. During the evaluation, the state will review the proposed review time for reasonableness.
Review Method / Contractor Support	Provide the Contractor's proposed review method for the deliverable. Identify any contractor proposed support for the review process (i.e. walkthrough, demonstration, etc.)

b. Deliverables

For all documentation deliverables, the Contractor must include the following in the designated sections of the Contractor's proposal:

- Standard deliverable templates and instructions and / or procedures followed by the Contractor's team for completion of the deliverable.
- Provide examples of the proposed deliverables used by previous projects.

For non-documentation deliverables, provide a clear explanation of how the Contractor will provide the deliverable in a manner in which the State can review, comment upon, and approve the deliverable. Include examples to the extent possible.

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F. Quality Assurance and Monitoring

1. Overview

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

A collaborative approach to quality will:

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

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

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

2. Requirements

The Contractor must meet the following requirements:

Turnover Quality Assurance and Monitoring
Must update the Operations Quality Assurance Plan for turnover procedures and deliver to the state for approval.
Must validate that the Quality Assurance Plan or series of plans for turnover activities has been executed accurately.
Must manage, perform and monitor the remaining Quality Assurance steps of the plan.
Must maintain the process of recording and addressing corrective and preventive actions through the turnover phase.
Must identify and track defects and service level deficiencies.
Must use the established rating system for defects.
Must certify that all turnover items and deliverables have been completed to the best of the ability of the contractor in aiding the State and/or successor contractor be successful in turnover.
Must ensure compliance with all Privacy and Security regulations during the turnover phase and maintain confidentiality in the transmission of documentation to the State or the successor contractor.
Must identify and document any issues or deficiencies that remain unresolved at the end of the turnover phase.

3. Proposal Expectations

Related to turnover activities, the State's expectation is that the Contractor must:

- Describe the methodology, approach and processes regarding high-level quality assurance activities.
- Describe the escalation methodology, approach and process.
- Provide an example of improved results and outcomes through the application of quality management principles from a previous project.
- Describe the integration of the Contractor's quality assurance and monitoring process during turnover.

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- Include the Contractor’s proposed set of quality assurance deliverables in the deliverables catalog based on the contractor’s project management and SDLC methodology.
- Provide the Contractor’s quality assurance and monitoring standard deliverable templates including instructions and procedures for completing the deliverable.
- Provide examples of the proposed quality assurance and monitoring standard deliverables utilized by previous projects.

G. Change Management

1. Overview

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

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

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

Costs for changes to operations will be managed under the existing terms defined in the Operations Change Management Section.

2. Requirements

The Contractor must meet the following requirements:

Change Management
Must request and receive State approval prior to implementing a change during the turnover phase of the contract.
Must update and submit for review and approval the Operational Change Management Plan to address turnover based on the methodologies proposed to manage and implement changes to the production system during the turnover phase of the contract.
Must put into practice and follow the approved updates to the Operational Change Management Plan for Turnover and use sound System Development Life Cycle (SDLC) methodologies to implement system changes while maintain production system operations.
Must maintain a formal process to track and manage change requests within the turnover phase of the contract.
Must provide a projection of change requests to be implemented in the upcoming months prior to turnover.
Must analyze all change requests and submit an assessment to the State within 10 days of the request. At a minimum, the assessment must include resource estimates, cost, schedule, and impacts to external entities and business operations.
Must perform a MITA assessment of all change requests and coordinate with the State’s MITA Coordinator.
Must submit all change requests and analysis results to the State Change Review Board for disposition and prioritization.
Must develop and submit for review and approval a detailed Integrated Master Schedule (IMS) for all approved changes; addressing each phase the SDLC and identifying all integration points and dependencies between all contractors and the State including interfaces, inputs, and outputs that the contractor requires from other contractors, the State, or other impacted entities.
Must design, develop, test and implement approved changes within the approved IMS timeframes.
Must implement changes in a manner with the least possible impact to operations and turnover timeframes while maintaining a high quality delivery.
Must provide the ability to rapidly revert to the previous system configuration when a newly implemented change causes an undesirable impact, as defined within the approved Change Management Plan.
Must develop and submit for review and approval a remediation plan for reconfiguration and redeployment when a newly implemented change causes an undesirable impact, as defined within the approved Change Management Plan.

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Change Management
Must include in the weekly status report an update on the status of each change request in work.
Must submit weekly detailed accounting to the State's satisfaction, of the work performed by each individual billing time to change requests.

3. Proposal Expectations

To understand and evaluate the Contractor's approach and culture, the State's expectation is that the Contractor's proposal must:

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

H. Data and Record Migration and Turnover

1. Overview

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

2. Requirements

The Contractor must meet the following requirements:

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

3. Proposal Expectations

The Contractor's proposal must:

- Describe the strategy and approach to data and record migration and turnover that clearly articulates the activities of the process including key aspects to inventory and cross reference of source and target turnover data and related artifacts (e.g. models, metadata); key activities and tasks for data and

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record migration; tools and resources needed to execute the process; and strategy for data quality assurance and control.

- Include examples of Data and Record Migration plans from a previous project.
- Provide checklists, metrics and tools that the Contractor plans to use to measure and assess the quality and accuracy of the process and resulting data and record migration.
- Provide expectations of State and successor contractor staff for support of data and record migration.

I. Organizational Staffing

1. Overview

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

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

Unless otherwise approved by the State, the Contractor is expected to maintain the same operational staffing levels throughout the completion of turnover as was in place the day before the state informed the Contractor to begin the Turnover Phase in addition to the identified turnover staff. Key personnel must not be reassigned within the Contractor's organization without prior State approval. With respect to all persisting vacancies of key personnel during all phases, the State must receive a credit equal to the full-time labor cost including the Contractor's overhead and margin costs of the unavailable individual, prorated for each day or partial day until the position is satisfactorily filled. For vacancies due to any reason other than dismissal by the State (of the applicable individual), the credit must begin to accrue at the time the vacancy occurs. For vacancies that occur due to the State's request, the credit must begin to accrue on the thirtieth (30th) business day after the vacancy occurs.

Key personnel must be replaced with individuals with comparable experience and qualifications as those submitted by the Contractor in the proposal, pending state approval. The Contractor is required to submit resumes and allow the State to interview applicants as part of the approval process. For the purposes of this contract, the contractor must not employ or contract with any individual who has been debarred, suspended, or otherwise lawfully prohibited from participating in any public procurement activity or from participating in non-procurement activities under regulations issued under Executive Order 12549 or under guidelines implementing Executive Order 12549 [42 CFR 438.610(a) and (b), 42 CFR 1001.1901(b), and 42 CFR 1003.102(a)(2)].

The Contractor must screen all employees and subcontractors to determine whether any of them have been excluded from participation in Federal health care programs. The DHHS, Office of Inspector General website, which can be searched by the name of any individual, can be accessed at: <https://oig.hhs.gov/exclusions/index.asp>.

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

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

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The State may require the Contractor to remove any of the Contractor's personnel from any further work under the Contract if in his/her sole discretion (i) the individual does not perform at the applicable skill level specified in the Contractor's Technical Proposal or elsewhere in the Contract, (ii) the individual does not deliver work that conforms to the performance standards stated in the RFP, the Contractor's Technical Proposal, and elsewhere in the Contract, or (iii) the person exhibits personal or professional conflicts with State personnel that hinder effective progress on the project.

Upon being notified in writing by the State Contract Administrator that a member of the Contractor's personnel is unacceptable, the Contractor must immediately remove that individual from any assignments on the Contract. In the event that a member of the Contractor's personnel is removed pursuant to this paragraph, the process set out above for submission of resumes, interviews, and approval must apply as if the person removed were among the Key Personnel.

2. Requirements

The Contractor must meet the following requirements:

Turnover Organizational Staffing
Must submit and maintain an Organizational Chart for the Turnover Phase.
Must provide a full-time designated turnover manager as a designated point person to interact with the State and successor contractor until contract closeout is completed.
Must provide and retain sufficient turnover staff in the right mix, inclusive of technical (e.g. systems analysts, technicians) and non-technical (e.g. clerical, business analysts) resources to complete the services and meet the requirements specified in this RFP, and if applicable, in the resulting contract.
Must submit a Staffing Contingency Plan for operations during the Turnover Phase.
Must acquire State approval for key staff and key staff replacements.
Must provide unrestricted access to appropriate Contractor personnel for discussion of problems or concerns.
Must cooperate with the State and successor contractor on transition of staff supporting the contract to either the state or the successor.
Must not in any way interfere with the transition of employees and subcontractors to the state or a successor.

3. Proposal Expectations

The State expects that individual contractors will have proven organizational procedures in place for staffing during operations once the Turnover stage commences. This will include staffing required to support Turnover efforts. Plans and methodologies will be evaluated and scored according to how well they align with State needs and expectations. Therefore, the State expects the contractor to include in their proposal:

- The Contractor's organizational chart for the Turnover phase of the contract.
- Contractor's approach to employing qualified staff to interact professionally with State and successor contractor staff.
- Turnover Staffing Plan detailing structure, key position qualifications, expected number of resources per position, and hours expected per resource.
- Names and resumes of key personnel including references.
- Staffing Contingency Plan detailing methods, approaches and processes to maintaining adequate staff that manage and support the solution.
- Expectations of State and successor contractor staff.
- Metrics from a previous project turnover including volume of issues, staffing volume, and resolution timeframe on issues.

J. Cooperation with Successor

1. Phase Overview

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

2. Requirements

The Contractor must meet the following requirements:

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

3. Proposal Expectations

The contractor must include the following in the proposal:

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

K. Contract Closeout

1. Overview

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

2. Requirements

The Contractor must meet the following requirements:

Turnover Contract Closeout
Must complete all activities to the State's satisfaction within the State approved turnover plan, turnover inventory, and work plan.
Must transfer all State owned property to the State or State's designee in an orderly manner.
Must transition all leases, licenses, etc. for materials or services to the State or designee. (e.g. toll free phone lines, post office boxes, web addresses, hardware, software, facilities, etc.). The State has sole discretion on whether a material or service is not necessary for transfer.
Must provide all finalized and production ready documentation organized and cataloged (e.g. User Manual, Business Operating Procedures, Technical Operating Procedures, Training Guide).
Must provide all system data to the State or successor (e.g. files, records, transactions).
Must complete all work required of the contractor during the Operations phase of the contract unless otherwise agreed to by the State for turnover to the State or successor.
Must implement all maintenance, and started changes in accordance with the agreed upon system release schedule defined in the Operations Change Management Phase.
Must resolve malfunctions/defects which existed in the system prior to turnover or which were caused by lack of

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Turnover Contract Closeout
support at turnover in accordance with the agreed upon response and resolution schedule.
Must permanently destroy all confidential data and protected health information entrusted to the Contractor for the performance of the contract upon approval of the State.
Must provide an attestation signed by an officer of the contractor's organization that all transition activities have been completed and all requirements have been met.

3. Proposal Expectations

The Contractor must submit the following in the contractor's proposal:

- Describe the methodology, approach and processes for meeting the requirements of this section.
- Provide a list of any contractor assumptions.

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