

RFP # - Appendix A – Statement of Work - Attachment B – Business and Technical Requirements Matrix

Requirement Number	RFP Section	Requirement	Response
1	I.D Introduction – Project Governance	Must establish governance within the contractor’s organization to deliver the procurement scope.	
2	I.D Introduction – Project Governance	Must participate in the MMIS Replacement Project governance as required by the State.	
3	II.A Design, Development, and Implementation (DDI) – Phase Overview	Must develop a realistic and achievable implementation plan with contingencies throughout rather than assuming the best possible outcome will always occur.	
4	II.A Design, Development, and Implementation (DDI) – Phase Overview	Must, to the extent possible, create a plan that favors a phased implementation strategy over a single implementation strategy.	
5	II.A Design, Development, and Implementation (DDI) – Phase Overview	Must provide organizational change management support to the State throughout the DDI phase to prepare the State staff for major operational changes.	
6	II.A Design, Development, and Implementation (DDI) – Phase Overview	Must implement replacement functionality for the existing data warehouse by September 30, 2018.	
7	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must manage all aspects of the project that affect cost, schedule, performance (scope and quality), risk/issues/opportunities, and resources that are under its control.	
8	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must develop and put into practice a holistic project management plan or series of plans and associated integration(s), based on its proposed project management and SDLC methodologies.	
9	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	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.	
10	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must provide updated and compatible weekly extracts (or any other interval requested by the State) of its plan(s) to the State for import into Microsoft Project or CA Clarity. Extracts must include, at a minimum, tasks, start dates, completion dates, resource assignments, levels of effort,	

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		durations, dependencies, constraints, percent completion, milestones, variances from baselines, predecessors, and successors.	
11	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must describe how it intends to manage and control updates to its project plan(s) and baselines, including the frequency of updates.	
12	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must employ a proven project management approach promoting the development of a strong working relationship and facilitating open and timely collaboration between the State, the contractor, other contractors, and project stakeholders.	
13	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must employ a proven project management approach ensuring the transparency of management actions and project results so that all parties remain properly informed.	
1	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must lead coordination with all other organizations whose participation is necessary for project success. The State will reasonably support the contractor's coordination efforts.	
15	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must prepare and submit the integrated master schedule (IMS) that addresses each phase of the PMLC and SDLC and must identify all integration points between all contractors and the State including interfaces, inputs, and outputs that the contractor requires from other contractors, the State, or other entities.	
16	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Within the IMS, must at a minimum decompose all tasks starting within a 120-day window into the future. This 120-day view should be maintained from month-to-month to provide an appropriate level of visibility for 120 days forward. Any task exceeding ten days in duration must be broken down to include subtasks detailing an appropriate level of work effort.	
17	II.B Design, Development, and Implementation (DDI) – Project Management and	Must submit for review and approval by the State all changes to the approved project management plans and IMS.	

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	Systems Development Life Cycle (SDLC)		
18	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must use a commercial, off-the-shelf project planning software for building and maintaining the IMS. However, if it uses software other than Microsoft Project, Project Server, or Clarity, it must provide training for State project staff, provide a reasonable number of licenses for the State's designated use, and ensure compatibility with the State's computers.	
19	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must provide all PMLC and SDLC deliverables included in the contractor's proposed deliverable catalog in conformance with State provided templates, instructions, and procedures. Deliverables must be of the quality of provided examples used on previous projects. Any templates or forms developed during the course of the project must be submitted for review and approval by the State prior to their use.	
20	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must perform work in accordance with the approved IMS timeframes.	
21	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must complete and maintain a requirements traceability matrix.	
22	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must provide a State approved Data Management Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.	
23	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must provide a State approved Data Governance Plan that includes approach, strategy, methodology, process, tools, resourcing, quality and contingency aspects.	
24	II.B Design, Development,	Must provide a State approved Master Data	

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	and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	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.	
25	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must provide a State approved Data Modeling Plan that includes strategy, methodology, process, tools, resourcing, quality and contingency aspects.	
26	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must provide, implement, and maintain a State approved Data Integration Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.	
27	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must provide a State approved Data Sharing Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.	
28	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must provide, implement, and maintain a State approved Data Transformation Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.	
29	II.B Design, Development, and Implementation (DDI) – Project Management and Systems Development Life Cycle (SDLC)	Must provide, implement, and maintain a State approved DMA Audit and Control Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.	
30	II.C.1 Design, Development, and Implementation (DDI) – Performance and Status Reporting	Must prepare and submit a weekly status report.	
31	II.C.1 Design, Development, and Implementation (DDI) – Performance and Status	Must prepare and submit a monthly status report.	

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	Reporting		
32	II.C.1 Design, Development, and Implementation (DDI) – Performance and Status Reporting	Must prepare and submit a quarterly status report.	
33	II.C.1 Design, Development, and Implementation (DDI) – Performance and Status Reporting	<p>The contractor must provide weekly (or any other interval requested by the State) baseline project plan-based reports that demonstrate:</p> <ol style="list-style-type: none"> 1. Tasks not started on time. 2. Tasks started on time but not completed on time. 3. Upcoming tasks for the next 30 days (or any other interval requested by the State). 4. Upcoming tasks for the next 30 days that are to be performed by an entity other than the contractor, which includes duration, start date, end date, and the contractor’s estimate of resource hours needed to complete each task. 	
34	II.C.2 Design, Development, and Implementation (DDI) – Performance and Status Reporting	Must deduct any State-required penalties from the contractor’s deliverable invoices.	
35	II.C.2 Design, Development, and Implementation (DDI) – Performance and Status Reporting	Must develop and implement CAPs for State approval as requested by the State within 10 business days of the request.	
36	II.C.2 Design, Development, and Implementation (DDI) – Performance and Status Reporting	Must submit all required evidence to the State for approval of completed CAPs.	
37	II.C.2 Design, Development, and	Must report on the status of corrective actions in weekly status reports until the issue that prompted	

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	Implementation (DDI) – Performance and Status Reporting	the need for the CAP is resolved.	
38	II.D Design, Development, and Implementation (DDI) – Deliverables	Must provide all documentation deliverables included in the Contractor's proposed deliverable catalog in conformance with the approved templates, instructions, and procedures and of the quality of the provided examples submitted with the proposal.	
39	II.D Design, Development, and Implementation (DDI) – Deliverables	Must perform all deliverables included in the deliverable catalog.	
40	II.D Design, Development, and Implementation (DDI) – Deliverables	Must provide the State with reasonable review periods applicable to the deliverable.	
41	II.D Design, Development, and Implementation (DDI) – Deliverables	Must perform work and submit deliverables for State review and approval in accordance with the approved IMS scheduled dates.	
42	II.D Design, Development, and Implementation (DDI) – Deliverables	Must provide a tracking capability for tracking of deliverable submission and review status.	
43	II.D Design, Development, and Implementation (DDI) – Deliverables	Must submit any changes to previously approved deliverables for approval through the review process.	
44	II.E Design, Development, and Implementation (DDI) – Quality Assurance and Monitoring	Must develop and put into practice a comprehensive quality assurance plan or series of plans to infuse quality throughout the project lifecycle and monitor, test, and audit the projects products prior to delivery.	
45	II.E Design, Development, and Implementation (DDI) – Quality Assurance and Monitoring	Must manage and perform all aspects of quality assurance and monitoring necessary to meet the requirements of this contract.	
46	II.E Design, Development, and Implementation (DDI) – Quality Assurance and Monitoring	Must develop documented quality assurance procedures.	
47	II.E Design, Development, and Implementation (DDI) – Quality Assurance and	Must report within the weekly status report identified deficiencies with weekly updates until deficiencies are corrected.	

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	Monitoring		
48	II.E Design, Development, and Implementation (DDI) – Quality Assurance and Monitoring	Must develop, submit, and put into practice a comprehensive test plan to ensure that the provided solution effectively meets the requirements.	
49	II.E Design, Development, and Implementation (DDI) – Quality Assurance and Monitoring	Must provide and follow a rating system for defects.	
50	II.F Design, Development, and Implementation (DDI) – Change Management	Must establish a process to track and manage change requests within the performance of the contract. The process must accommodate escalation and disposition of change requests escalated to the project or organizational change control approval levels.	
51	II.F Design, Development, and Implementation (DDI) – Change Management	Must implement change requests in a manner with the least possible impact to the project timeframes and budget while maintaining a high quality delivery.	
52	II.F Design, Development, and Implementation (DDI) – Change Management	Must document change requests utilizing a format and process approved by the State.	
53	II.F Design, Development, and Implementation (DDI) – Change Management	At the request of the State, the contractor must analyze change requests and submit the results of analysis to the State. At a minimum, the estimate and results must include estimates for effort by resource category by work package, cost, schedule impact, impacts to the system, impacted external entities and interface partners, and impacted business operations.	
54	II.F Design, Development, and Implementation (DDI) – Change Management	Must monitor changes in federal and state laws and rules for impacts to the project.	
55	II.F Design, Development, and Implementation (DDI) – Change Management	Must support discussions and meetings on the disposition of change requests with the necessary team members to enable decision making.	
56	II.F Design, Development, and Implementation (DDI) – Change Management	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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57	II.F Design, Development, and Implementation (DDI) – Change Management	Must submit a Change Management Plan detailing the change management process and approach along with a visual aid of the overall process and approach.	
58	II.G Design, Development, and Implementation (DDI) – Data Conversion and Data Load	Must submit a Data Conversion and Load Plan that includes strategy, methodology, process, tools, quality and contingency aspects.	
59	II.G Design, Development, and Implementation (DDI) – Data Conversion and Data Load	Must develop Data Conversion specifications and mappings for all data sets to be converted and loaded.	
60	II.G Design, Development, and Implementation (DDI) – Data Conversion and Data Load	Must plan, test, execute and manage the Data Conversion process and data load from all source systems.	
61	II.G Design, Development, and Implementation (DDI) – Data Conversion and Data Load	Must develop and provide iterative and final data conversion execution packages according to plan that includes appropriate information on the process, methods, logic, data sets converted, quality findings, and test results.	
62	II.G Design, Development, and Implementation (DDI) – Data Conversion and Data Load	Must convert and load the appropriate data from all State systems necessary to support the requirements of the contract.	
63	II.H Design, Development, and Implementation (DDI) – Environments	Must provide and host all hardware, software, and connectivity required to maintain and operate the environments and for all authorized users to access and use the system.	
64	II.H Design, Development, and Implementation (DDI) – Environments	Must manage and maintain software upgrades and licenses necessary to fulfill the requirements of the contract.	
65	II.H Design, Development, and Implementation (DDI) – Environments	Must provide environments that enforce standard security and privacy.	
66	II.H Design, Development, and Implementation (DDI) – Environments	Must submit an infrastructure and architecture plan describing the DDI environments and network connectivity.	
67	II.I Design, Development,	Must submit a Disaster Recovery Plan for DDI that	

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	and Implementation (DDI) – Disaster Recovery	includes strategy, methodology, process, tools, quality and contingency aspects.	
68	II.I Design, Development, and Implementation (DDI) – Disaster Recovery	Must perform testing to demonstrate that the Disaster Recovery Plan has been correctly implemented, is operational and complies with prescribed recovery timelines in the Disaster Recovery Plan.	
69	II.I Design, Development, and Implementation (DDI) – Disaster Recovery	Must maintain system redundancy as identified in the Disaster Recovery Plan and approved by the State.	
70	II.J Design, Development, and Implementation (DDI) – Facility	Must provide secure facilities for hosting of all environments within the continental United States.	
71	II.J Design, Development, and Implementation (DDI) – Facility	Must demonstrate how only necessary staff (those who require regular state interaction) will be selected and assigned to state provided facility	
72	II.J Design, Development, and Implementation (DDI) – Facility	Must have plans in place at contractor provided facilities to minimize project work impact due to outages.	
73	II.J Design, Development, and Implementation (DDI) – Facility	Must have controlled access to all contractor facilities in compliance with privacy and security requirements.	
74	II.K Design, Development, and Implementation (DDI) – Organizational Staffing	Must provide criminal background initial investigations on all personnel prior to project assignment and follow-up investigations every five years.	
75	II.K Design, Development, and Implementation (DDI) – Organizational Staffing	Must submit a monthly updated resource utilization matrix that identifies resource use expectations by month (i.e. hours by person, throughout the DDI phase including actuals vs planned for previous months.	
76	II.K Design, Development, and Implementation (DDI) – Organizational Staffing	Must provide a project manager as a single dedicated point of contact to interact with the State.	
77	II.K Design, Development, and Implementation (DDI) – Organizational Staffing	Must ensure that customer facing staff are within Lincoln, Nebraska 90% of the time during the implementation.	
78	II.K Design, Development, and Implementation (DDI) –	Must maintain an Organizational Chart and project contact list.	

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	Organizational Staffing		
79	II.K Design, Development, and Implementation (DDI) – Organizational Staffing	Must acquire State approval for key staff and key staff replacements.	
80	II.K Design, Development, and Implementation (DDI) – Organizational Staffing	Must provide and retain a team and sufficient staff in the right mix, inclusive of technical (e.g. systems analysts, technicians) and non-technical (e.g. clerical, business analysts) resources to complete the services and meet the requirements specified in this contract.	
81	II.K Design, Development, and Implementation (DDI) – Organizational Staffing	Must not reassign or replace key personnel without prior approval from the State.	
82	II.L Design, Development, and Implementation (DDI) – Documentation	Must provide and maintain an online repository accessible by state staff and designees for all project documentation.	
83	II.L Design, Development, and Implementation (DDI) – Documentation	Must ensure that documentation is developed in a consistent style using consistent formats and defined terminology and acronyms (i.e. standard template, style guide, definitions, and acronyms).	
84	II.L Design, Development, and Implementation (DDI) – Documentation	Must provide user and system documentation that is effective for both new and experienced users.	
85	II.L Design, Development, and Implementation (DDI) – Documentation	Must develop and provide project notes and artifacts.	
86	II.L Design, Development, and Implementation (DDI) – Documentation	Must provide Companion Guides, tutorials, help files, FAQ's and tool tips.	
87	II.L Design, Development, and Implementation (DDI) – Documentation	Must develop a meaningful classification system to organize the documentation by type, subject, phase, and audience.	
88	II.L Design, Development, and Implementation (DDI) – Documentation	Must produce agendas and minutes of project meetings and maintain in the online repository.	
89	II.M Design, Development, and Implementation (DDI) – User Support	Must provide state users access to each environment as directed by the State.	
90	II.M Design, Development,	Must establish a contact point for state users to	

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	and Implementation (DDI) – User Support	address access issues with environments during the hours of 8 am – 5 pm local time during all state business days.	
91	II.M Design, Development, and Implementation (DDI) – User Support	Must resolve user access issues within one business day.	
92	II.M Design, Development, and Implementation (DDI) – User Support	Must provide telephone and email support for user support and questions.	
93	II.M Design, Development, and Implementation (DDI) – User Support	Must provide training to users as needed in support of the DDI phase.	
94	II.M Design, Development, and Implementation (DDI) – User Support	Must provide user access within one business day and user termination within 1 hour of request.	
95	II.N Design, Development, and Implementation (DDI) – System Readiness	<p>Prior to the start of system readiness, must submit a signed attestation to the State that the system:</p> <ul style="list-style-type: none"> Meets all required functionality. Defects requiring correction for production identified in previous testing have been resolved. Environment has been set-up to mirror the planned production environment. Reference tables have been configured as planned for the production environment. A statistically valid subset of historic data from all source systems has been converted through the planned conversion logic. Security roles have been established as planned for in the production environment. <p>Interfaces have been confirmed as being functional.</p>	
96	II.N Design, Development, and Implementation (DDI) – System Readiness	Must perform system readiness testing of all system functionality.	
97	II.N Design, Development,	Must provide a comprehensive System Readiness	

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	and Implementation (DDI) – System Readiness	Test Plan.	
98	II.N Design, Development, and Implementation (DDI) – System Readiness	Must conduct end-to-end testing with interface partners both external and internal	
99	II.N Design, Development, and Implementation (DDI) – System Readiness	Must include defect status information in the weekly status report.	
100	II.N Design, Development, and Implementation (DDI) – System Readiness	Must provide documented results and conduct walkthroughs of test results.	
101	II.N Design, Development, and Implementation (DDI) – System Readiness	Must receive State approval to entering and exiting system readiness.	
102	II.N Design, Development, and Implementation (DDI) – System Readiness	Must perform all set-up, preparation, and result documentation activities for testing regardless of whether the Contractor or State designee is performing the test case.	
103	II.O Design, Development, and Implementation (DDI) – Operational Readiness	Must develop and provide an Operational Readiness Plan to the State for approval that is effective for both new and experienced end users of the system.	
104	II.O Design, Development, and Implementation (DDI) – Operational Readiness	Must develop and provide Business and Technical Operating Procedures to the State for approval.	
105	II.O Design, Development, and Implementation (DDI) – Operational Readiness	Must submit a signed certification to the State of operational readiness including results of operational readiness checklists and testing.	
106	II.O Design, Development, and Implementation (DDI) – Operational Readiness	Must provide training and training materials for all operational aspects of the solution to all end users, internal and external.	
107	II.O Design, Development, and Implementation (DDI) – Operational Readiness	Must test and certify that all components are ready for operations.	
108	II.O Design, Development, and Implementation (DDI) – Operational Readiness	Must perform, monitor, and document operational testing results.	
109	II.O Design, Development, and Implementation (DDI) – Operational Readiness	Must correct identified problems, failures, incompatibilities, and errors identified during operational readiness. Modifications must be	

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		documented, and the contractor must conduct another review of the readiness.	
110	II.O Design, Development, and Implementation (DDI) – Operational Readiness	Must provide and walkthrough an Operational Readiness Report.	
111	II.O Design, Development, and Implementation (DDI) – Operational Readiness	Must receive State approval prior to entering and exiting operational readiness.	
112	II.P Design, Development, and Implementation (DDI) – Privacy and Security	Must develop a Privacy and Security Plan. This plan must include both physical and network security.	
113	II.P Design, Development, and Implementation (DDI) – Privacy and Security	Must Maintain a comprehensive audit trail of systematic and physical access to PHI.	
114	II.P Design, Development, and Implementation (DDI) – Privacy and Security	Must comply with all security and privacy laws, regulations, and policies, including the Health Insurance Portability and Accountability Act (HIPAA), and related breach notification laws and directives.	
115	II.P Design, Development, and Implementation (DDI) – Privacy and Security	Must inform the state of any potential, suspected, or confirmed breach immediately upon contractor becoming aware.	
116	II.P Design, Development, and Implementation (DDI) – Privacy and Security	Must provide initial and ongoing privacy and security training to all employees and contract personnel assigned to the project prior to providing access to PHI.	
117	II.P Design, Development, and Implementation (DDI) – Privacy and Security	Must take all reasonable industry recognized methods to secure the system from un-authorized access.	
118	II.P Design, Development, and Implementation (DDI) – Privacy and Security	Must de-identify data for testing purposes.	
119	II.P Design, Development, and Implementation (DDI) – Privacy and Security	Must 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.	
120	II.Q Design, Development,	Must develop an implementation and contingency	

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	and Implementation (DDI) – Implementation and Contingency	<p>plan documenting:</p> <ul style="list-style-type: none"> • The Contractor's plan and milestones for implementation of the approved system and operations as applicable. • Risks and contingency plans for mitigating and addressing risks during the implementation. • Issue resolution process. • The staff, tasks and sequence of go-live actions necessary to cut over to a new system during implementation. <p>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.</p>	
121	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	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.	
122	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	Must validate all production data (e.g. reference, history) and source code is loaded to the appropriate environments.	
123	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	Must validate that interfaces to exchange data are production ready.	
124	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	Must validate that appropriate network connectivity is in place and production ready.	
125	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	Must validate all necessary system and ancillary access is in place, including passwords and security permissions, for all resources per the approved security matrix.	
126	II.Q Design, Development, and Implementation (DDI) –	Must provide the State with all reasonably requested information to support a go / no-go decision prior to	

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	Implementation and Contingency	go-live.	
127	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	Must receive State approval prior to beginning the implementation and prior to go-live.	
128	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	Must coordinate and communicate with all actors to ensure each understands the tasks and sequence of actions each must take and that an integrated 'practice' of go-live actions takes place prior to the actual cut over.	
129	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	Must provide event driven communications updates to designated State staff and leadership during cut over.	
130	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	Must coordinate and communicate with all actors to ensure each understands the tasks and sequence of actions each must take to back out of a go-live, including an integrated practice of these actions with the requisite actors prior to undertaking a go-live cutover.	
131	II.Q Design, Development, and Implementation (DDI) – Implementation and Contingency	Must provide the State a post implementation report noting any issues encountered in hardware, network, software or operations during implementation and what their resolution was or is expected to be.	
132	III.A Initial Operations and CMS Certification – Phase Overview	Must perform all functions necessary to manage the initial operations phase to meet all requirements, performance, and service levels required for the Operations Phase.	
133	III.A Initial Operations and CMS Certification – Phase Overview	Must coordinate with the state and other contractors as necessary to achieve certification retro-active to the date of implementation.	
134	III.B Initial Operations and CMS Certification – Initial Operations Support and Management	Must submit the Contractor's plan to monitor, identify, track, and respond to issues 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	

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		separate plan.	
135	III.B Initial Operations and CMS Certification – Initial Operations Support and Management	Must immediately inform the State's designated contact person of any issues with immediate external impact.	
136	III.B Initial Operations and CMS Certification – Initial Operations Support and Management	Must conduct status meetings with the state on identified issues including establishing issue priority and severity, and resolution. The frequency of meetings must be established by the State based on the volume, priority, and severity of issues identified.	
137	III.B Initial Operations and CMS Certification – Initial Operations Support and Management	Must remedy any system issues within the specified time frame for the assigned priority and severity. The state has final authority to establish the priority and severity of any issue. Maintain conformance to any agreed to SLAs and contractual guarantees.	
138	III.B Initial Operations and CMS Certification – Initial Operations Support and Management	Must ensure that no scope, schedule, budget or resource issues impact existing projects in process while providing operations support.	
139	III.B Initial Operations and CMS Certification – Initial Operations Support and Management	Must provide business and technical staff and information to support questions on post go-live operations at a heightened level of support until the system has stabilized after go-live for any significant systems functionality or components. Staff will satisfy post operational audit questions, help with certifications and respond to requests for information on system use, navigation, work flow, function, etc.	
140	III.C Initial Operations and CMS Certification – CMS Certification	Must submit a certification plan 120 days prior to implementation.	
141	III.C Initial Operations and CMS Certification – CMS Certification	Must submit all necessary materials such as certification packets required by CMS for certification within 150 days of the implementation date.	
142	III.C Initial Operations and CMS Certification – CMS Certification	Must provide any necessary support to the State throughout the CMS certification planning and review process.	
143	III.C Initial Operations and CMS Certification – CMS Certification	Must provide CMS certification training to State personnel prior to the start of certification activities.	

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144	III.C Initial Operations and CMS Certification – CMS Certification	Must remedy all system or operational issues required for CMS certification.	
145	III.D Initial Operations and CMS Certification – Organizational Staffing	Must provide a resource utilization matrix detailing the Contractor's increased staffing levels to address go-live issues, preparation and planning for certification, and maintaining performance measures.	
146	III.D Initial Operations and CMS Certification – Organizational Staffing	Must provide a certification manager to interact in tandem, with the State and the IV&V vendor.	
147	III.D Initial Operations and CMS Certification – Organizational Staffing	Must provide an adequate team of resources to monitor, track, and correct identified issues.	
148	III.D Initial Operations and CMS Certification – Organizational Staffing	Must provide an adequate team of dedicated resources for preparation and support of CMS certification.	
149	III.D Initial Operations and CMS Certification – Organizational Staffing	Must maintain an adequate number of staff to support the initial operations enhanced activities in addition to the normal operational staff.	
150	III.D Initial Operations and CMS Certification – Organizational Staffing	Must provide and retain sufficient staff in the right mix, inclusive of technical (e.g. systems analysts, technicians) and non-technical (e.g. clerical, business analysts) resources to resolve issues and meet the requirements specified in this RFP, and the resulting contract.	
151	III.E Initial Operations and CMS Certification – User Support	Must provide a documented User Support Plan for user support during the initial operations and CMS certification phase.	
152	III.E Initial Operations and CMS Certification – User Support	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).	
153	III.E Initial Operations and CMS Certification – User Support	Must provide users a means to alert user support personnel of their need for support when no one is available to take their call.	
154	III.E Initial Operations and CMS Certification – User Support	Must provide an adequate number of staff and expertise for the help desk.	

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Requirement Number	RFP Section	Requirement	Response
155	III.E Initial Operations and CMS Certification – User Support	Must prioritize and resolve issues coming into the help desk using mutually agreed upon severity definitions.	
156	III.E Initial Operations and CMS Certification – User Support	Must track, manage, and report on user support requests and statuses using the proposed tool.	
157	III.E Initial Operations and CMS Certification – User Support	Must facilitate issue status meetings with the State on a daily basis as directed by the State.	
158	III.E Initial Operations and CMS Certification – User Support	Must provide ongoing education and training of user support procedures and policies, particularly when a change in the process is needed or required.	
159	III.F Initial Operations and CMS Certification – Contingency Planning	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.	
160	III.F Initial Operations and CMS Certification – Contingency Planning	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.	
161	IV.A Operations Phase - Phase Overview	Must perform all functions necessary to meet all requirements, performance, and service levels required for the Operations Phase.	
162	IV.A Operations Phase - Phase Overview	Must coordinate and communicate with the State and other contractors as necessary to provide expertise on the functions within the Contractor's scope of work in support of the state's business goals.	
163	IV.A Operations Phase - Phase Overview	Must provide recommendations to the State for process and system improvements.	
164	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must manage all aspects of the contract that affect operations, cost, schedule, and performance (scope and quality); including any risks, issues, opportunities, and resources that are under its control.	
165	IV.B Operations Phase -	Must develop and submit for approval an	

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Requirement Number	RFP Section	Requirement	Response
	Project Management and Systems Development Life Cycle (SDLC)	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.	
166	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must put into practice and follow the approved Operational SDLC Plan and submit for re-approval any changes to the approved plan.	
167	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must employ a proven project management approach promoting the development of a strong working relationship and facilitating open and timely collaboration between the state, the Contractor, other contractors, and project stakeholders.	
168	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must employ a proven project management approach ensuring the transparency of management actions and project results so that all parties remain properly informed.	
169	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must lead coordination with all other organizations whose participation is necessary for project success. The state must reasonably support the contractor's coordination efforts.	
170	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must prepare and submit the Integrated Master Schedule (IMS) for releases which addresses each phase of the PMLC and SDLC and must identify all integration points between all contractors and the state including interfaces, inputs, and outputs that the contractor requires from other contractors, the State, or other entities.	
171	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Within the IMS, must at a minimum decompose all tasks starting within a 120-day forward window into the future. This 120-day view 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.	
172	IV.B Operations Phase - Project Management and Systems Development Life	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	

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	Cycle (SDLC)	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, constraints, % completion, milestones, predecessors, successors and variances from baseline.	
173	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must use a commercial, off-the-shelf project planning software for building and maintaining the IMS. However, if it uses software other 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.	
174	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must provide all PMLC and SDLC deliverables included in the Contractor's proposed deliverable catalog in conformance with the provided templates, instructions, and procedures and of the quality of the provided examples used on previous projects. Any templates or forms developed during the course of the project must be submitted for review and approval by the State prior to their use.	
175	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must perform work in accordance with the approved IMS timeframes.	
176	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must perform cohesive project management in all aspects of operational planning, organizing, staffing, scheduling, and monitoring.	
177	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must ensure the transparency of operational management plans, actions and outcomes so that all stakeholders remain properly informed.	
178	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must implement and monitor an internal quality control process to ensure that all deliverables, documents, and reports are complete, accurate, easy to understand, and of high quality. Include a process to record and address corrective and preventive actions.	

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Requirement Number	RFP Section	Requirement	Response
179	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must include in the proposed Operational Project Management Plan all integration points between all contractors, organizations, and the State including interfaces, inputs, and outputs required from other contractors, organizations, or the State.	
180	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must put into practice and follow the approved Operational Project Management Plan and submit for re-approval any changes to the approved plan.	
181	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must schedule, attend, and facilitate recurring Operational Project Management status meetings with the State on an agreed upon schedule.	
182	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must perform production support, and employ sound System Development Life Cycle (SDLC) methodologies to implement system changes and enhancements while maintaining production system operations.	
183	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must develop and submit for approval, an Operational Communications Management Plan that demonstrates what will be communicated, to whom, using which channels for information sharing and at what intervals. The plan must demonstrate the process for originating, reviewing and approving communications to State, other impacted contractors, and organizations.	
184	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must put into practice and follow the approved Operational Communications Management Plan and submit for re-approval any changes to the approved plan.	
185	IV.B Operations Phase - Project Management and Systems Development Life Cycle (SDLC)	Must develop and submit for approval an Operational System Development Life Cycle (SDLC) Plan; defining the methodologies, approach, and processes that will be followed during each phase of the SDLC.	
186	IV.B Operations Phase - Project Management and Systems Development Life Cycle (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.	

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187	IV.C.1 Operations Phase - Performance and Status Reporting	Must communicate critical issues or failures to the contract manager as soon as practical without interfering with the resolution of the critical issue or failure.	
188	IV.C.1 Operations Phase - Performance and Status Reporting	Must prepare and submit a weekly status report.	
189	IV.C.1 Operations Phase - Performance and Status Reporting	Must prepare and submit a monthly status report.	
190	IV.C.1 Operations Phase - Performance and Status Reporting	Must prepare and submit a quarterly status report.	
191	IV.C.1 Operations Phase - Performance and Status Reporting	Must prepare and submit other status materials as necessary and required in support of the state pursuant to the scope of the Contractor's work.	
192	IV.C.2 Operations Phase - Performance and Status Reporting	Must deduct the penalty from the Contractor's monthly invoice unless a waiver is obtained in writing from the state contract manager	
193	IV.C.2 Operations Phase - Performance and Status Reporting	Must develop and implement corrective action plans as requested by the state.	
194	IV.C.2 Operations Phase - Performance and Status Reporting	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.)	
195	IV.D Operations Phase - 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 examples submitted with the proposal.	
196	IV.D Operations Phase - Deliverables	Must perform work and submit deliverables for State review and approval in accordance with the approved frequency as identified in the deliverable catalog.	
197	IV.D Operations Phase - Deliverables	Must maintain a status report detailing progress and completion of all approved deliverables.	

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198	IV.E Operations Phase - Quality Assurance and Monitoring	Must develop and put into practice a comprehensive Operations Quality Management Plan to infuse quality throughout operations.	
199	IV.E Operations Phase - Quality Assurance and Monitoring	Must update and follow the Operations Quality Management Plan and documented procedures as applicable during the operational phase.	
200	IV.E Operations Phase - Quality Assurance and Monitoring	Must use the Operations Quality Management Plan for all changes made during the operational phase supporting the terms of this contract.	
201	IV.E Operations Phase - Quality Assurance and Monitoring	Must record and address corrective and preventive actions within the timeframe specified by the State.	
202	IV.E Operations Phase - Quality Assurance and Monitoring	Must maintain and put into practice a test plan for testing of any changes to the provided solutions.	
203	IV.E Operations Phase - Quality Assurance and Monitoring	Must use a proven tool to identify and track defects and SLA deficiencies.	
204	IV.E Operations Phase - Quality Assurance and Monitoring	Must use a rating system for defects.	
205	IV.E Operations Phase - Quality Assurance and Monitoring	Must conduct internal quality reviews for all deliverables before the deliverables are submitted to the State.	
206	IV.E Operations Phase - Quality Assurance and Monitoring	Must establish and maintain written internal quality assurance policies for meeting the requirements of this contract.	
207	IV.F Operations Phase - Change Management	Must establish a process to track and manage change requests for the duration of the contract. Contractor must track, at a minimum, the change description, origin, status, target implementation date, and actual implementation date. The process must accommodate escalation and disposition of change requests escalated to the project or organizational change control approval levels.	
208	IV.F Operations Phase - Change Management	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	

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		impacts to external entities and business operations. The contractor is expected to provide both a time and materials estimate and a fixed price estimate.	
209	IV.F Operations Phase - Change Management	Must support discussions and meetings on the disposition of change requests with the necessary team members to enable decision making.	
210	IV.F Operations Phase - Change Management	Must perform a MITA assessment of all change requests and coordinate with the State's MITA Coordinator.	
211	IV.F Operations Phase - Change Management	Must submit all change requests and analysis results to the State for disposition and prioritization.	
212	IV.F Operations Phase - Change Management	Must develop and submit for approval a Business and System Requirements Document (BSRD) for each proposed system change.	
213	IV.F Operations Phase - Change Management	Must include at a minimum in the BSRD; all impacted 'as-is' and 'to-be' business and system processes, with corresponding business and system solution requirements.	
214	IV.F Operations Phase - Change Management	Must adhere to all Project Management and SDLC requirements for all system changes.	
215	IV.F Operations Phase - Change Management	Must develop and submit for approval an Operational System Release Schedule for all system changes that will be implemented in the upcoming months.	
216	IV.F Operations Phase - Change Management	Must put into practice and follow an approved Operational System Release Schedule and submit for re-approval any changes to the approved schedule.	
217	IV.F Operations Phase - Change Management	Must design, develop, test, and implement approved system changes within the approved Operational System Release Schedule timeframes, throughout the duration of the contract.	
218	IV.F Operations Phase - Change Management	Must develop and submit for approval a detailed Integrated Master Schedule (IMS) for each upcoming system release addressing each phase of the SDLC and identifying all integration points and dependencies between all contractors and the State including interfaces, inputs, and outputs that the contractor requires from other contractors, the State,	

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		or other impacted entities.	
219	IV.F Operations Phase - Change Management	Must request and receive final State approval prior to implementing a change into production.	
220	IV.F Operations Phase - Change Management	Must implement system changes in a manner with the least possible impact to the project timeframes and budget while maintaining a high quality delivery.	
221	IV.F Operations Phase - Change Management	Must provide the ability to rapidly revert to the previous system configuration when a newly implemented change causes an undesirable impact.	
222	IV.F Operations Phase - Change Management	Must develop and submit for approval a remediation plan for reconfiguration and redeployment when a newly implemented change causes an undesirable impact.	
223	IV.F Operations Phase - Change Management	Must schedule, attend, and facilitate system change development activities with the necessary internal and external stakeholders impacted by the change to define requirements, roles, and responsibilities.	
224	IV.F Operations Phase - Change Management	Must submit a weekly detailed accounting of the work performed by each individual billing time to a system change within the weekly status report.	
225	IV.F Operations Phase - Change Management	Must include in the monthly status report to the State information regarding all system changes implemented within the previous month. At a minimum, the report will include actual vs. estimated schedule, hours, cost, and resources.	
226	IV.F Operations Phase - Change Management	Must include in the monthly status report to the State all projected system changes that will be implemented in the upcoming months. At a minimum, the report will include the projected schedule, estimated hours, cost, and resources.	
227	IV.F Operations Phase - Change Management	Must monitor changes in Federal and State laws and rules for impacts to operations that require system changes.	
228	IV.F Operations Phase - Change Management	Must fully test system changes prior to inclusion in the production environment.	
229	IV.F Operations Phase - Change Management	Must coordinate external testing with agencies if deemed appropriate by the State.	
230	IV.F Operations Phase - Change Management	Must perform and test interfaces with the various interface partners as system changes are planned.	

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		Once system changes are implemented, post production monitoring must occur for a period of time specified by the State.	
231	IV.F Operations Phase - Change Management	Must implement approved changes and additions to the system based on Business Rules and/or Policies in accordance with the agreed upon schedule.	
232	IV.F Operations Phase - Change Management	Must provide a system-inherent mechanism for recording any change to a software module or subsystem.	
233	IV.F Operations Phase - Change Management	Must develop, implement, and maintain a Configuration Management process that includes procedures to track and manage hardware and software inventories installed and the combination of hardware and software residing on each component of equipment.	
234	IV.F Operations Phase - Change Management	Must implement the Configuration Management process no later fifteen (15) calendar days after receipt of approval by the State	
235	IV.F Operations Phase - Change Management	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.	
236	IV.F Operations Phase - Change Management	Must support system updates or changes by drafting the appropriate revisions to the documentation, and forward them to the State for review and approval 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.	
237	IV.F Operations Phase - Change Management	Must support discussions and meetings on the disposition of change requests with the necessary team members to enable decision making	
238	IV.G Operations Phase - Data and Record Retention	Must conduct data refreshes when necessary, that are recoverable.	
239	IV.G Operations Phase - Data and Record Retention	Must provide access to all data including metadata, to authorized users.	
240	IV.G Operations Phase - Data and Record Retention	Must continue to follow the State approved Data Retention and Archive Plan.	
241	IV.G Operations Phase -	Must submit a Data Reconciliation Plan for State	

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	Data and Record Retention	approval and execute per the approved plan.	
242	IV.G Operations Phase - Data and Record Retention	Must comply with all applicable federal and state data retention and archival rules, regulations, and requirements for all program information, data, and correspondence that is received and produced through the solution.	
243	IV.G Operations Phase - Data and Record Retention	Must restore archived data for viewing, printing, and exporting to files as requested by the State.	
244	IV.G Operations Phase - Data and Record Retention	Must continue to provide and maintain a secure environment(s) that ensures confidentiality of all State records and other confidential information regardless of media or location.	
245	IV.G Operations Phase - Data and Record Retention	Must archive and purge archived data in accordance with the State archival and purge schedules for all media types.	
246	IV.G Operations Phase - Data and Record Retention	Must retain all data and other “records” relating to the acquisition and performance of the Contract for a period of six years after the completion of the Contract.	
247	IV.G Operations Phase - Data and Record Retention	Must store estate recovery data as provided by the state from 1994 forward.	
248	IV.G Operations Phase - Data and Record Retention	Must retain all data history on-line for a period of time defined by the State.	
249	IV.G Operations Phase - Data and Record Retention	Must archive all data received from the State outside of the defined on-line time period in a format that allows access so that reports may be generated from this data within 24 hours of a request from the State.	
250	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must provide a Business Continuity and Disaster Recovery Plan that includes strategy, methodology, process, tools, quality and contingency aspects.	
251	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must provide mission critical services as defined by the state that must not be interrupted.	
252	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must perform periodic testing to demonstrate that the Business Continuity and Disaster Recovery Plan is correctly implemented and operational and comply with prescribed recovery timelines.	
253	IV.H Operations Phase -	Must maintain system redundancy as identified in	

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	Business Continuity and Disaster Recovery	the Business Continuity and Disaster Recovery Plan and approved by the State.	
254	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must allow MLTC to perform on-site review of data center area that houses solution servers and redundant hardware.	
255	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must regularly maintain full back up of all data and software at a secure off-site location.	
256	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must establish and adhere to fail-safe back-up and recovery procedures.	
257	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must demonstrate readiness to re-establish a production environment in the event of a disaster.	
258	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must ensure, in the event of a declared major failure or disaster, the DMA must be back online within 48 hours of the failure or disaster.	
259	IV.H Operations Phase - Business Continuity and Disaster Recovery	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,	
260	IV.H Operations Phase - Business Continuity and Disaster Recovery	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.	
261	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must ensure that upon discovery of any problem within its span of control that may jeopardize or is jeopardizing the availability and performance of critical system functions and information, including any problems affecting scheduled exchanges of data, the Contractor must notify the State within 60 minutes of such discovery. In its notification, the Contractor must explain in detail the impact to critical path processes, such as enrollment management.	
262	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must resolve unscheduled outages of critical system function caused by a failure of systems and telecommunications technologies within the	

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		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.	
263	IV.H Operations Phase - Business Continuity and Disaster Recovery	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.	
264	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must ensure that critical system functions, as determined by the State, will be available twenty-four (24) hours a day, seven (7) days a week. Maintenance and down time must be scheduled and approved by the State. All unscheduled downtime must be reported to the State immediately, with stated corrective action and workarounds.	
265	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must ensure that, at a minimum, all non-critical system functions and information are available to the appropriate system users between the hours of 7:00 am and 7:00 pm, central time, Monday through Friday.	
266	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must provide, implement, maintain, and be continually ready to implement, a contingency plan that must include a disaster recovery plan (DRP) and a business continuity plan (BCP). A DRP is designed to recover systems, networks, workstations, applications, etc., in the event of a disaster. A BCP must focus on restoring the operational function of the organization in the event of a disaster and includes items related to IT, as well as operational items, such as employee notification processes and the procurement of office space, equipment, and supplies needed to do business in emergency mode.	
267	IV.H Operations Phase -	Must provide, implement, maintain, and be	

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	Business Continuity and Disaster Recovery	<p>continually ready to implement, a contingency plan that must address the following scenarios:</p> <ul style="list-style-type: none"> • The central computer installation and resident software are damaged or destroyed. • System interruption or failure that result from network, operating hardware, software, or operations errors that compromise the integrity of transactions that are active in a live system at the time of the outage. • System interruption or failure that result from network, operating hardware, software, or operations errors that compromise the integrity of data maintained in a live or archival system. • System interruption or failure that result from network, operating hardware, software, or operational errors that do not compromise the integrity of transactions or data maintained in a live or archival system, but prevents access to the system, such as causing unscheduled system unavailability. <p>The plan must specify projected recovery times and data loss for mission-critical systems in the event of a declared disaster.</p>	
268	IV.H Operations Phase - Business Continuity and Disaster Recovery	<p>Must annually test its plan through simulated disasters and lower level failures in order to demonstrate to the State that it can restore systems functions on a timely basis. In the event the Contractor fails to demonstrate through these tests that it can restore systems functions, the Contractor</p>	

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		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.	
269	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must provide for off-site storage and remote back-up capabilities that that comply with all applicable state and federal laws, rules and regulations.	
270	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must provide remote back-up that includes operating instructions, procedures, reference files, system documentation, and operational files.	
271	IV.H Operations Phase - Business Continuity and Disaster Recovery	<p>Must provide data back-up and restoration policy and procedures that include, but not be limited to:</p> <ul style="list-style-type: none"> • Descriptions of the controls for back-up processing, including how frequently back-ups occur, and target restoration times. • Documented back-up and restoration procedures. • Location of where data will be backed up (off-site or on-site, as applicable). • Identification and description of what is being backed up as part of the back-up plan. <p>Any change in back-up procedures in relation to the DMA's technology changes.</p>	
1. 272	IV.H Operations Phase - Business Continuity and Disaster Recovery	Must provide a list of all back-up files to be stored at remote locations, which must be approved by the State before tapes are moved off-site.	
2. 273	IV.I Operations Phase - Facility	Must develop and submit for State approval an Operations Facility Plan.	
3. 274	IV.I Operations Phase - Facility	Must equip the facility with security equipment ensuring that only authorized individuals are allowed access and internal and external video surveillance.	
4. 275	IV.I Operations Phase - Facility	Must provide and maintain a secured facility with access as specified by the State that is ADA compliant.	

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5. 276	IV.I Operations Phase - Facility	Must maintain a secure server room with appropriate HVAC and security for any application servers located on site at the contractors facility.	
6.	IV.I Operations Phase - Facility	Must equip the contractor facility with connectivity as required for any and all contractor personnel.	
7.	IV.I Operations Phase - Facility	Must provide all office equipment needed by contractor personnel while assigned to the DMA contract, including PCs, printers, software, and other necessary office equipment.	
8.	IV.I Operations Phase - Facility	Must provide State access to contractor's office space as requested during regular business hours.	
9.	IV.I Operations Phase - Facility	Must provide off-site facilities for storage with secured access.	
10.	IV.I Operations Phase - Facility	Must develop and submit for State approval an Operations Facility Closing Plan.	
11.	IV.J Operations Phase - Organizational Staffing	Must provide a Staffing Plan detailing the contractor's staffing levels throughout the duration of the contract to maintain performance measures and support ongoing operations. Plan must include key position qualifications, expected number of resources per position, and hours expected per resource.	
12.	IV.J Operations Phase - Organizational Staffing	Must perform criminal background investigations on all personnel and follow-up investigations every 5 years.	
13.	IV.J Operations Phase - Organizational Staffing	Must provide an Account Manager that is accountable for the contract, maintains responsibility for all requirements of the contract, has complete decision making authority, and serves as the dedicated point person to interact with the State and other contractors	
14.	IV.J Operations Phase - Organizational Staffing	Must provide a Privacy and Security Manager to maintain all physical and technical HIPAA privacy and security requirements.	
15.	IV.J Operations Phase - Organizational Staffing	Must provide a Subject Matter Expert that is proficient in the operation of the contractor's application, understands Nebraska specific data and assists the department in day to day troubleshooting, product support, analysis and query	

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		development. The Subject Matter Expert must train department staff in these competencies so that department staff become proficient in these areas.	
16.	IV.J Operations Phase - Organizational Staffing	Must provide a helpdesk with an adequate number of staff and expertise to assist state users with application support.	
17.	IV.J Operations Phase - Organizational Staffing	Must provide and maintain an updated Organizational Chart with corporate escalation paths on a monthly basis.	
18.	IV.J Operations Phase - Organizational Staffing	Must acquire State approval for key staff and key staff replacements.	
19.	IV.J Operations Phase - Organizational Staffing	Must provide and retain a team and sufficient staff in the right mix, inclusive of technical (e.g. systems analysts, technicians) and non-technical (e.g. clerical, business analysts) resources to complete the services and meet the requirements specified in this RFP, and if applicable, in the resulting contract.	
20.	IV.J Operations Phase - Organizational Staffing	Must provide and maintain an updated project contact list.	
21.	IV.J Operations Phase - Organizational Staffing	Must provide staff augmentation personnel as requested by the State.	
22.	IV.K Operations Phase - Documentation	Must maintain Business and Technical Operating Procedures as any changes are made (e.g. job schedules, data dictionary, and system software and hardware failure procedures) and submit for State approval.	
23.	IV.K Operations Phase - Documentation	Must create and maintain project notes, artifacts, agendas and meeting minutes in a State approved format for the duration of the contract.	
24.	IV.K Operations Phase - Documentation	Must maintain companion guides for HIPAA transactions applicable to the DMA scope of work. Companion Guides, tutorials, help files, FAQ's and tool tips for online applications.	
25.	IV.K Operations Phase - Documentation	Must develop, prepare, print, maintain/update, produce, and distribute DMA system documentation and DMA user manuals during the term of the contract. All manuals must be available in an electronic format that is compatible with Department standards. The Contractor is responsible for	

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		developing and providing to the Department complete, accurate, and timely documentation of the DMA.	
26.	IV.K Operations Phase - Documentation	Must update system documentation and user manuals and distribute in final form, for all changes, corrections, or enhancements to the system, prior to Department approval of the system change.	
27.	IV.K Operations Phase - Documentation	Must maintain database schema, data dictionaries, entity-relationship diagrams, process flows, network diagrams, and architecture and configuration diagrams.	
28.	IV.K Operations Phase - Documentation	Must provide COTS product documentation.	
29.	IV.K Operations Phase - Documentation	Must maintain documentation on all system modifications (e.g. version upgrades, new hardware, and parameters).	
30.	IV.K Operations Phase - Documentation	Must maintain system documentation that is accessible to users on-line, with a printable version available. Browse and search capabilities must be provided to permit users to easily locate specific information in the documentation.	
31.	IV.K Operations Phase - Documentation	Must maintain documentation that includes full mock-ups of all screens or windows and provides narrative descriptions of the navigation features.	
32.	IV.K Operations Phase - Documentation	Must provide on-line help for all features, functions, and data element fields, as well as descriptions and resolutions for error messages, using help features (e.g., indexing, searching, tool tips, and context-sensitive help topics).	
33.	IV.K Operations Phase - Documentation	Must maintain and distribute to all users (including the State) distinct systems design and management manuals, user manuals, and quick reference guides.	
34.	IV.K Operations Phase - Documentation	Must ensure that the systems user manuals contain information about, and instructions for, using applicable systems functions and accessing applicable system data.	
35.	IV.K Operations Phase - Documentation	Must ensure that all manuals and reference guides are available in printed form and on the Contractor's	

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		website.	
36.	IV.K Operations Phase - Documentation	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.	
37.	IV.K Operations Phase - Documentation	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.	
38.	IV.L Operations Phase - User Support	Must provide user support through a fully functional user support help desk for external and internal authorized users. Users must have various contact options (e.g. email, online, phone).	
39.	IV.L Operations Phase - User Support	Must provide a means to alert user support personnel when no one is available to take their call for priority issues.	
40.	IV.L Operations Phase - User Support	Must follow State approved escalation procedures.	
41.	IV.L Operations Phase - User Support	Must prioritize and resolve issues using mutually agreed upon severity definitions.	
42.	IV.L Operations Phase - User Support	Must track, manage, and report on user support requests and statuses using the proposed tool.	
43.	IV.L Operations Phase - User Support	Must maintain a portal for submission of User reported errors, questions, and concerns that is searchable by users. This portal must include description of the issue, severity level assigned to the ticket, dates of generation and resolution, User IDs associated with the creation of the ticket, and a method of status update surrounding the issue.	
44.	IV.L Operations Phase - User Support	Must provide ongoing education and training of user support procedures and policies, particularly when a change in the process is needed or required.	
45.	IV.L Operations Phase - User Support	Must make available self-paced training for authorized users.	
46.	IV.L Operations Phase - User Support	Must provide training that includes an overview of the system and hands-on training on the system as requested by the State.	

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47.	IV.L Operations Phase - User Support	Must provide systems help desk via local and toll-free telephone service and via e-mail from 7:00 am to 7:00 pm, central time, Monday through Friday. If requested by the State, the Contractor must staff the SHD on a Saturday or Sunday.	
48.	IV.L Operations Phase - User Support	Must provide help desk staff that must be able to answer user questions regarding DMA system functions and capabilities; report any recurring programmatic and operational problems to appropriate DMA or the State staff for follow-up.	
49.	IV.L Operations Phase - User Support	Must provide help desk staff that must be able to redirect problems or queries that are not supported by the SHD, as appropriate, via a telephone transfer or other agreed upon methodology; and redirect problems or queries specific to data access authorization to the appropriate support staff.	
50.	IV.L Operations Phase - User Support	Must ensure that individuals who place calls to the SHD between the hours of 7:00 pm to 7:00 am, central time, Monday through Friday, are able to leave a message. The SHD must respond to messages by noon of the following business day.	
51.	IV.L Operations Phase - User Support	Must ensure that recurring problems, not specific to system outage, identified by the SHD are documented and reported to DMA management within one business day of recognition so that deficiencies are promptly corrected.	
52.	IV.L Operations Phase - User Support	Must provide an information systems (IS) service management system that provides an automated method to record, track, and report all questions or problems reported to the SHD.	
53.	IV.M Operations Phase - 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.	
54.	IV.M Operations Phase - Privacy and Security	Must provide and maintain an Operational Privacy and Security Plan that addresses updating security requirements as new threats/vulnerabilities are identified and/or new technologies implemented	

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Requirement Number	RFP Section	Requirement	Response
55.	IV.M Operations Phase - Privacy and Security	Must maintain a secured single sign-on per user and support DHHS single-sign-on (SSO) as and when applicable.	
56.	IV.M Operations Phase - Privacy and Security	Must maintain a comprehensive log of user and external system access, queries, and changes, and alert State of key events and access to log information interactively.	
57.	IV.M Operations Phase - Privacy and Security	Must meet and maintain all HIPAA, HHSS IT Security Policies and Standards, HITECH, ARRA and other State/Federal privacy and security requirements across all systems and services related to the solution.	
58.	IV.M Operations Phase - Privacy and Security	Must provide and maintain Privacy and Security Policies and Procedures.	
59.	IV.M Operations Phase - Privacy and Security	Must provide initial and ongoing privacy and security training to all employees and contract personnel assigned to the project prior to providing access to protected health information (PHI).	
60.	IV.M Operations Phase - Privacy and Security	Must maintain a comprehensive audit trail of systemic and physical access to PHI.	
61.	IV.M Operations Phase - Privacy and Security	Must demonstrate that the System infrastructure (hardware, software, and linkages) is operational and meets federal and State architectural, technical, security and privacy requirements as well as business and functional requirements.	
62.	IV.M Operations Phase - Privacy and Security	Must support multi-level role-based security and functionality.	
63.	IV.M Operations Phase - Privacy and Security	Must comply with all applicable State and Federal laws, rules, and regulations for submitting protected health information (PHI), personally identifiable information (PII) and federal tax information (FTI) electronically and must set up a secure email system that is password protected for both sending and receiving any PHI, PII and/or FTI.	
64.	IV.M Operations Phase - Privacy and Security	Must utilize an access management function that restricts access to varying levels of system functionality and information.	
65.	IV.M Operations Phase - Privacy and Security	Must restrict access to information on a "least privilege basis (e.g., users who are permitted inquiry	

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Requirement Number	RFP Section	Requirement	Response
		privileges only will not be permitted to modify information).	
66.	IV.M Operations Phase - Privacy and Security	Must restrict access to specific system functions and information based on an individual user profile, including inquiry only capabilities. Access to all functions must be restricted to specified staff, with approval of the State.	
67.	IV.M Operations Phase - Privacy and Security	Must restrict unsuccessful attempts to access system functions to three attempts, with a system function that automatically prevents further access attempts and records those occurrences.	
68.	IV.M Operations Phase - Privacy and Security	Must provide for the physical safeguarding of its data processing facilities and the systems and information housed within those facilities. The DMA must provide the State with access to data facilities on request. The physical security provisions must be in effect for the duration of this contract.	
69.	IV.M Operations Phase - Privacy and Security	Must restrict perimeter access to equipment sites, processing areas, and storage areas through a key card or other comparable system, as well as provide accountability control to record access attempts, including attempts of unauthorized access.	
70.	IV.M Operations Phase - Privacy and Security	Must include physical security features designed to safeguard processor site(s) including fire-retardant capabilities, as well as smoke and electrical alarms, monitored by security personnel.	
71.	IV.M Operations Phase - Privacy and Security	Must put in place procedures, measures, and technical security to prohibit unauthorized access to the regions of the data communications network inside the DMA's span of control. This includes but is not limited to ensuring that no provider or member services applications can be directly accessible over the internet and must be appropriately isolated to ensure appropriate access.	
72.	IV.M Operations Phase - Privacy and Security	Must ensure that remote access users of its information system can only access these systems through two-factor user authentication and by methods including VPN, which must be approved in writing and in advance by the State.	

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Requirement Number	RFP Section	Requirement	Response
73.	IV.M Operations Phase - Privacy and Security	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.	
74.	IV.M Operations Phase - Privacy and Security	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.	
75.	IV.M Operations Phase - Privacy and Security	Must develop and implement methods that ensure security for all components of the system including environmental security, physical site security, computer hardware security, computer software security, data access and storage, client/user security, telecommunications security, and Network security.	
76.	IV.M Operations Phase - Privacy and Security	Must develop and implement a process for documenting, tracking, monitoring and reporting security issues to the State.	
77.	IV.M Operations Phase - Privacy and Security	Must support security authorization and authentication of the user.	
78.	IV.M Operations Phase - Privacy and Security	Must provide identity management features that assign a unique user ID and password to all users	
79.	IV.M Operations Phase - Privacy and Security	Must manage user profiles, including enforcing role-based security access to system data and functions	
80.	IV.M Operations Phase - Privacy and Security	Must allow users to recover/reset lost passwords from a portal interface following industry best-practices.	
81.	IV.M Operations Phase - Privacy and Security	Must support the ability to disable user accounts and ensure no disabled accounts can log in or access the system.	

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82.	IV.M Operations Phase - Privacy and Security	Must support the automatic disabling of user accounts if failed logins exceed a configurable threshold.	
83.	IV.M Operations Phase - Privacy and Security	Must automatically log off authenticated users after a configurable period of inactivity and display a warning message to the user prior to session timeout.	
84.	IV.M Operations Phase - Privacy and Security	Must support the saving of user profiles for archival purposes, including the ability to re-enable/reuse the profile.	
85.	IV.M Operations Phase - Privacy and Security	Must generate automatic alerts to system administrators when a breach pattern or unauthorized use activity is detected.	
86.	IV.M Operations Phase - Privacy and Security	Must provide appropriate encryption mechanisms to protect the confidentiality and integrity of critical data, including but not limited to passwords, social security numbers and bank account numbers.	
87.	IV.M Operations Phase - Privacy and Security	Must encrypt sensitive data in transit (including emails) to protect data confidentiality and integrity as appropriate based on the sensitivity of data.	
88.	IV.M Operations Phase - Privacy and Security	Must support the latest version of Security Sockets Layer (SSL)/Transport Layer Security.	
89.	IV.M Operations Phase - Privacy and Security	Must prevent the creation of duplicate accounts.	
90.	IV.M Operations Phase - Privacy and Security	Must support the use HTTPS/SSL for connections between interfaces.	
91.	IV.M Operations Phase - Privacy and Security	Must inform the state of any potential, suspected, or confirmed breach immediately upon contractor becoming aware.	
92.	IV.M Operations Phase - Privacy and Security	Must provide initial and ongoing privacy and security training to all employees and contract personnel assigned to the project prior to providing access to PHI.	
93.	IV.M Operations Phase - Privacy and Security	Must take all reasonable industry recognized methods to secure the system from un-authorized access.	
94.	IV.M Operations Phase - Privacy and Security	Must de-identify data for testing.	

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95.	IV.M Operations Phase - Privacy and Security	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.	
96.	IV.M Operations Phase - Privacy and Security	Must provide an exact copy of the annual independent security audit report within thirty (30) days of completion. The State will use the findings and recommendations of each report as part of its monitoring process.	
97.	IV.M Operations Phase - Privacy and Security	Must deliver to the State a corrective action plan to address deficiencies identified during the audit process within 10 business days of receipt of the audit report.	
98.	IV.M Operations Phase - Privacy and Security	Must include in audit requirements the applicable subcontractors or vendors delegated any responsibilities related to the DMA's information systems obligations. The cost of the audit must be borne by the Contractor or subcontractor, not the State.	
99.	IV.M Operations Phase - Privacy and Security	Must support and integrate with the State's single-sign-on when and as applicable.	
100.	IV.N.1 Operations Phase - Business Architecture Overview - General	Must provide industry expertise and thought leadership in data analytics for all areas of the State's business architecture.	
101.	IV.N.1 Operations Phase - Business Architecture Overview - General	Must support the State's operational continual improvement efforts.	
102.	IV.N.1 Operations Phase - Business Architecture Overview - General	Must support the State's future MITA assessment efforts by evaluating MITA maturity for business architecture processes within the scope of the contract.	
103.	IV.N.1 Operations Phase - Business Architecture Overview - General	Must monitor and inform the State of potential federal or industry changes which may impact business processes supported by the contract.	
104.	IV.N.2 Operations Phase - Business Architecture Overview - Reporting and Analytics	Must provide proven, high quality reporting and analytic capabilities that leverage an industry-leading suite of reporting and business intelligence tools.	

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105.	IV.N.2 Operations Phase - Business Architecture Overview - Reporting and Analytics	Must provide a reporting and analytic tool that is easily configurable by the average user.	
106.	IV.N.2 Operations Phase - Business Architecture Overview - Reporting and Analytics	Must work with the State to identify and develop requirements for reports and analytics for the DMA solution, including mechanisms and methodologies for each.	
107.	IV.N.2 Operations Phase - Business Architecture Overview - Reporting and Analytics	Must provide, implement, and maintain the reports, analytics, and associated catalogue/index/metadata based on State approved requirements for the DMA solution, including mechanisms and methodologies for each.	
108.	IV.N.2 Operations Phase - Business Architecture Overview - Reporting and Analytics	Must produce and distribute all production reports and analytics within the timeframes and according to the format, input parameters, content, frequency, media, and number of copies specified by the State.	
109.	IV.N.2 Operations Phase - Business Architecture Overview - Reporting and Analytics	Must generate system activity, balancing and error reports as defined by the State and as requested by the State	
110.	IV.N.3 Operations Phase - Business Architecture Overview - Creating, managing, and performing statistical analysis, forecasting, and predictive analytics	Must track all variable data in the database resulting in the provision of statistical analysis, forecasting, and predictive analytics and deliver results to the State on a frequency as determined by the State.	
111.	IV.N.3 Operations Phase - Business Architecture Overview - Creating, managing, and performing statistical analysis, forecasting, and predictive analytics	Must provide contractor pre-defined and future predictive algorithms to the State on a frequency as determined by the State	
112.	IV.N.3 Operations Phase - Business Architecture Overview - Creating, managing, and performing statistical analysis,	Must identify, interrogate, monitor, assess and categorize various variable data in the database resulting in the provision of statistical analysis, forecasting, and predictive analytics.	

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	forecasting, and predictive analytics		
113.	IV.N.3 Operations Phase - Business Architecture Overview - Creating, managing, and performing statistical analysis, forecasting, and predictive analytics	Must manage the results of statistical analysis, forecasting, and predictive analytics to meet state and federal guidelines and laws.	
114.	IV.N.3 Operations Phase - Business Architecture Overview - Creating, managing, and performing statistical analysis, forecasting, and predictive analytics	Must provide interpretation, guidance and training to State users regarding predictive algorithms and other results of statistical analysis, forecasting, and predictive analytics.	
115.	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must provide secure generation and on-line real-time access of all data 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.	
116.	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must provide the ability to view, search, print and export into various formats (e.g. Excel, Word, charts, graphs) all data sections and subsections of pre-defined queries, ad-hoc and business reports.	
117.	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must allow authorized users to view results of filtered reports, ad-hoc and pre-defined query searches based on multiple or single criteria, with the ability to perform secondary and tertiary searches within the primary search results.	
118.	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must allow authorized users to view results of filtered reports, ad-hoc and user defined query searches based on multiple or single criteria, with the ability to perform secondary and tertiary searches within the primary search results.	

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119.	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	<p>Must create all CMS Federal Quarterly Reports including but not limited to:</p> <ul style="list-style-type: none"> TMSIS CMS-64 CMS64-EC CMS64-21E CMS-21 CMS-21E CMS-21B CMS-37 <p>Note: Nebraska CHIP program is a combined Medicaid Expansion and Separate CHIP. Also, managed care is operated under a 1915(b) waiver.</p>	
120.	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	<p>Must create all CMS Federal Annual reports including but not limited to:</p> <ul style="list-style-type: none"> CMS-416 <p>CMS-372 reports for all active HCBS waivers.</p>	
121.	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must create all new required Federal Reports as defined by CMS and the State.	
122.	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must provide dashboard solutions and performance management scorecards that are updated on a schedule defined by the state.	
123.	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must provide the flexibility to vary time periods for reporting purposes and to produce reports on any frequency specified by the State.	
124.	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports –	Must store and maintain pre-defined business reports for a period specified by the State.	

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	Predefined and Ad-Hoc		
125.	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must provide the ability to save ad-hoc and query results for a period specified by the State.	
126.	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must provide, implement, and maintain State approved processes and methods to support the management of a dynamic information request practice that includes pre-defined and ad hoc reports and analytics.	
127.	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must provide, implement, and maintain State approved pre-defined reports and supporting documentation that meet State and Federal specifications.	
128.	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must provide, implement, and maintain the DMA report catalog, analytics catalog, and data dictionary that includes relationship and reference mapping. This information must be available in electronic searchable format and exportable to support print formats.	
129.	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must document and provide verification of pre-defined reports' accuracy and validity on an annual basis.	
130.	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must provide, implement, and maintain State approved algorithms and supporting documentation utilized within the DMA.	
131.	IV.N.4 Operations Phase - Business Architecture Overview - Managing Queries and Reports – Predefined and Ad-Hoc	Must provide, implement, and maintain a State approved Communication Plan regarding DMA system and data events, information on known data issues, and status updates.	
132.	IV.N.4 Operations Phase - Business Architecture	Must provide support services to provide, implement, and maintain analytics and reports of	

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	Overview - Managing Queries and Reports – Predefined and Ad-Hoc	complexity levels outside the scope of State staff knowledge and training levels.	
133.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must provide a configurable rules-engine that identifies potential incidents of fraud, waste, abuse and erroneous payments.	
134.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must develop, update and maintain an algorithm library throughout the life of the contract.	
135.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must allow authorized users to create, modify, and run the rules and algorithms with limited or no technical support.	
136.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must incorporate link analysis of providers and members where relationships extend beyond provider to provider relationships (e.g. interwoven relationships between providers, members, owners, addresses).	
137.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must provide a subject matter expert, who understands the algorithms used to extract data, to testify and support an administrative State or Federal action, and the appeals process.	
138.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must provide predictive modeling and early warning capabilities and analytics for detecting fraud, waste, abuse and erroneous payments.	
139.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must include application training modules including self-paced computer-based modules, web-based training, application tutorials, and searchable help features for authorized users.	
140.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must implement, maintain and operate a configurable and certified SUR subsystem according to Department business rules.	
141.	IV.N.5 Operations Phase - Business Architecture Overview - Program	Must profile provider groups, independent/solo providers, and individual providers within group practices.	

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	Integrity		
142.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must perform analysis of rendering, attending, admitting, supervising, ordering and prescribing provider's billing practices to generate reports of aberrant utilization patterns.	
143.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must apply clinically approved guidelines against episodes of care to identify instances of treatment inconsistent with guidelines.	
144.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must perform all analysis using both claims and encounter records.	
145.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must link all services of any member based on all historical member ID numbers.	
146.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must profile all services provided to a member during a single episode of care.	
147.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must utilize a minimal level of manual effort in providing information that reveals potential defects in level of care and quality of service.	
148.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must suppress processing on an individual(s) within specified categories on a run-to-run basis.	
149.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must support pattern recognition and provide an automated fraud and abuse profiling system for the ongoing monitoring of provider and member claims to detect patterns of potential fraud, waste, abuse and excessive billing.	
150.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must update all reference data based on a schedule agreed upon with State.(e.g. claims, provider, member)	

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151.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must maintain a process to apply weighting and ranking of those exception report items identified by the State.	
152.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must exempt individual and mass adjustments or voids from SURS profiles and reports based on configurable rules.	
153.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must recommend members for referral to restricted access programs.	
154.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	Must perform “absence of” scenario analysis (null testing).	
155.	IV.N.5 Operations Phase - Business Architecture Overview - Program Integrity	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.	
156.	IV.N.6.a Operations Phase - Business Architecture Overview - Case Management - General	Must provide a real time, state of the art, configurable case management tool to identify, create, document, and manage fraud, waste, abuse, and erroneous payments in connection with the State’s Program Integrity process.	
157.	IV.N.6.a Operations Phase - Business Architecture Overview - Case Management - General	Must provide a solution that is configurable and capable of supporting multiple business processes in addition to Program Integrity.	
158.	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case Identification and Creation	Must initiate cases from a web-based referral form and must support manual initiation of cases.	
159.	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case	Must receive, record and funnel all initial cases into a queue for assessment, assignment and investigation.	

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	Identification and Creation		
160.	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case Identification and Creation	Must assign caseload “weights” to cases (e.g., characteristics of claim, claim edits, claim submission type, prior authorization, and client).	
161.	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case Identification and Creation	Must auto-populate fields and values on all case-related forms and web-based tools including exclusionary provider data.	
162.	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case Identification and Creation	Must have access to internal and external agency databases to extract data to pre-populate index fields, and/or values (e.g. provider data, member data, Electronic Health Records).	
163.	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case Identification and Creation	Must identify and link related case data and activities.	
164.	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case Identification and Creation	Must include large-capacity free-form text note functionality (e.g. keyword search, sort functions) for cases.	
165.	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case Identification and Creation	Must customize case data to the State’s business processes.	
166.	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case Identification and Creation	Must provide notification to the assigned investigator when a new case is created.	
167.	IV.N.6.b Operations Phase - Business Architecture Overview - Case	Must provide the user the choice to either automatically assign cases or assign cases on a case-by-case basis.	

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	Management - Case Identification and Creation		
168.	IV.N.6.b Operations Phase - Business Architecture Overview - Case Management - Case Identification and Creation	Must utilize multi-level drop-down menus for consistent categorization and reporting.	
169.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must track and manage all case management data including adverse actions, outcomes, expenditures, payments, receivables, recoupments and adjustments in accordance with State guidelines.	
170.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must track and report AR/AP (e.g., check numbers, payer, payee, date, amount, and memo).	
171.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must capture, track, display, and maintain all provider data, including agreement and termination information and historical communications.	
172.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must maintain, track, log, archive, display, generate and auto generate, as defined by the State, all provider communications.	
173.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must provide search capability of all current and historic case management data.	
174.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must provide letter templates including the use of digital signatures for all case management letters.	
175.	IV.N.6.c Operations Phase - Business Architecture	Must provide tracking for individual cases, multiple cases/projects, and policy recommendations. Each	

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Requirement Number	RFP Section	Requirement	Response
	Overview - Case Management - Manage Case Information	case type has a unique set of fields and events that reflect the unique characteristics and processes for that case.	
176.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must maintain links between cases and historical scanned/uploaded documents.	
177.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must provide customized access to cases to ensure case information is only visible to those authorized to see it, based on role level, case type, or other criteria. This will also restrict rights so that certain users can be given "read-only" access to cases and others can edit case files.	
178.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must allow users to sort and search for keywords or names throughout the case management tool.	
179.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must allow users to add notes to any case from the dashboard or from within the case and automatically store these notes based on configurable business rules.	
180.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must allow users to add files (e.g. spreadsheets, emails, scanned documents, PDFs, audio, photos, videos) to a case as attachments, or upload and assign them to a particular case/project, or multiple cases/projects. Users must also have the ability to remove and/or replace documentation attached to a case.	
181.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must allow users to complete a case or investigative report into a pre-formatted report template, auto-populate information from the case file on the system.	
182.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage	Must allow users to add parties to a case file either manually or by copying from other case files.	

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Requirement Number	RFP Section	Requirement	Response
	Case Information		
183.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must conduct a final review of every investigation and ensure a State accepted outcome has been executed before the case is closed.	
184.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must communicate actions (e.g. termination, exclusion) and outcomes to the appropriate State system (e.g. Provider Screening & Enrollment, Eligibility and Enrollment System, Special Investigation Unit) and/or investigator(s).	
185.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must provide workflow functionality to enable automated distribution of cases, alerts and notifications to designated work queues and processing.	
186.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must provide functionality to establish and modify workload distribution to manage workloads on an as needed basis.	
187.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must incorporate tools such as a spell-check option for all free-form data entry fields and use drop-down menus for common data elements such as date fields and provider types.	
188.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must modify and adapt case management processes, procedures and functionality to business process changes and maintain up to date functionality with minimal impact to users.	
189.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must provide training to all current and new users initially and when upgrades are implemented and/or when processes, procedures and/or functionality changes.	
190.	IV.N.6.c Operations Phase - Business Architecture Overview - Case	Must provide user manuals with updates as appropriate.	

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Requirement Number	RFP Section	Requirement	Response
	Management - Manage Case Information		
191.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must provide on-line help for all features, functions and data element fields.	
192.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must allow for users to see all assigned cases and identify all of their open cases and those which have deadlines that are approaching or have passed.	
193.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must update multiple cases in a project by selecting certain cases from the system, selecting a particular activity, and updating all cases simultaneously.	
194.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must provide for on-line review and approval by management of key steps within the case investigation process.	
195.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must provide a structured workflow process that does not allow steps to be skipped without proper authorization.	
196.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must manage case information in a logical, chronological format.	
197.	IV.N.6.c Operations Phase - Business Architecture Overview - Case Management - Manage Case Information	Must maintain functionality to create and export comprehensive case records to multiple external media based on configurable business rules.	
198.	IV.N.6.d Operations Phase - Business Architecture	Must provide viewable, printable, exportable, consolidated audit history of cases.	

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Requirement Number	RFP Section	Requirement	Response
	Overview - Case Management - Audit Cases		
199.	IV.N.6.d Operations Phase - Business Architecture Overview - Case Management - Audit Cases	Must allow users to produce work management reports which include performance measures for individuals and business processes.	
200.	IV.N.6.d Operations Phase - Business Architecture Overview - Case Management - Audit Cases	Must provide an audit trail of historical activity which includes modification activities.	
201.	IV.N.6.d Operations Phase - Business Architecture Overview - Case Management - Audit Cases	Must track time, expenses and recoveries related to investigation activities.	
202.	IV.N.6.d Operations Phase - Business Architecture Overview - Case Management - Audit Cases	Must allow managers to track investigator caseloads, missed deadlines and aging cases.	
203.	IV.N.6.d Operations Phase - Business Architecture Overview - Case Management - Audit Cases	Must maintain a complete history and audit trail of all cases.	
204.	IV.N.6.d Operations Phase - Business Architecture Overview - Case Management - Audit Cases	Must provide the functionality to analyze caseloads, clearance rates, dispositions and other management data.	
205.	IV.N.6.d Operations Phase - Business Architecture Overview - Case Management - Audit Cases	Must provide built-in time tracking and complete history/audit trails.	
206.	IV.N.6.d Operations Phase - Business Architecture Overview - Case Management - Audit Cases	Must retain all data on-line for a period of time defined by the State.	
207.	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must process and load encounter and FFS claims to the data warehouse received in HIPAA and NCPDP standard formats as applicable by claim type.	

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Requirement Number	RFP Section	Requirement	Response
208.	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must validate that encounter and FFS claims are in compliance with HIPAA and NCPDP standards and operating rules as applicable by claim type.	
209.	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must perform integrity edits as directed by the State.	
210.	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must maintain all applicable reference files for encounter processing purposes.	
211.	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must maintain a method to distinguish between encounter and FFS claim records.	
212.	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must reject claims that fail compliance edits.	
213.	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must flag, capture and report on encounters and claims that fail integrity edits.	
214.	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must support a workflow and method to work with the MCO for submission of a corrected encounter claim.	
215.	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must provide a detailed integrity edit report describing the reason for the integrity flag and work with MCO to resolve and resubmit.	
216.	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must provide management reconciliation reports for rejected encounters and claims resolution.	
217.	IV.N.7 Operations Phase - Business Architecture Overview – Encounter	Must provide online work queues for flagged claims resolution.	

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Requirement Number	RFP Section	Requirement	Response
	Processing		
218.	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must capture and report on other types of payment records such as Kick Payments.	
219.	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must report on content of the database via dashboards, static and ad-hoc reports.	
220.	IV.N.7 Operations Phase - Business Architecture Overview – Encounter Processing	Must report on the activity of encounter and claim receipts.	
221.	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	Must provide, implement, and maintain a State approved DMA information and technical architecture that provides architecture views using architectural standards including alignment to all DMA related components of business, technology, and information.	
222.	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	Must work with the State to identify and develop requirements for services in the context of service oriented architecture (SOA) for the DMA solution, including mechanisms and methodologies for each.	
223.	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	Must provide, implement, and maintain the State approved services in the context of service oriented architecture (SOA) for the DMA solution, including mechanisms and methodologies for each.	
224.	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	Must provide, implement, and maintain a State approved services catalogue and services registry that describes the services provided and details the performance (time and quality service levels), functionality (a description of the inputs, outputs and transformation provided by the service), costs (and cost model), and delivery model (how the service is provided).	
225.	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	Must support the State in the alignment of the DMA with the MITA Framework and its capability/maturity model, CMS Seven Standards and Conditions, industry standards, and other nationally recognized	

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Requirement Number	RFP Section	Requirement	Response
		standards for information and technology.	
226.	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	Must ensure that the DMA solution meets the requirements of this RFP, and all applicable state and federal laws, rules and regulations, including Medicaid confidentiality, and HIPAA, American Recovery and Reinvestment Act (ARRA), Patient Protection and Affordable Care Act (PPACA) privacy and security requirements.	
227.	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	Must demonstrate high levels of capability/maturity with respect to service orientation, interoperability, and data exchange.	
228.	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	Must provide applications, operating software, middleware, and networking hardware and software that is able to interoperate as needed with the State's systems and must conform to applicable standards and specifications set by the State.	
229.	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	Must comply with Section 508 of the Federal Rehabilitation Act and the World Wide WDMA Consortium (W3C), WDMA Accessibility Initiation, Section 508 (a)(1)(A)	
230.	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	Must support branding using official State content (e.g. logos, images).	
231.	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	Must follow a modular, flexible approach to systems design consistent with the MITA 3.0 guidelines, CMS Seven Conditions and Standards for Enhanced Funding and Service-Oriented Architecture (SOA) design principles including but not limited to the use of open interfaces and exposed application programming interfaces (API); the separation of business rules from core programming; and the availability of business rules in both human and machine-readable formats.	
232.	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	Must provide contextual "help" functionality throughout the system that users can link to for clarification or additional information.	

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Requirement Number	RFP Section	Requirement	Response
233.	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	Must maintain a system operational environment that ensures that the DMA operates according to Federal and State regulations and related requirements as stated in the RFP.	
234.	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	Must provide, on written request, files for any specified period for which a valid contract exists, in a file format or audit-defined media required by the State. The DMA must provide information necessary to assist in processing or using the files.	
235.	IV.O.1 Operations Phase - Business Information and Technical Architecture - General	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.	
236.	IV.O.2 Operations Phase - Business Information and Technical Architecture - Data Management	Must provide, implement, and maintain a State approved Data Management Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.	
237.	IV.O.2 Operations Phase - Business Information and Technical Architecture - Data Management	Must perform data management processes, activities, and tasks that include managing all DMA data, data standards, metadata, data semantics, data harmonization, data ownership and management, interoperability, security & privacy, access methods, data integrity, data quality, and performance standards according to the Data Management Plan.	
238.	IV.O.2 Operations Phase - Business Information and Technical Architecture - Data Management	Must verify the accuracy and timeliness of reported data.	
239.	IV.O.2 Operations Phase - Business Information and Technical Architecture - Data Management	Must screen the data for completeness, logicalness, and consistency.	
240.	IV.O.2 Operations Phase - Business Information and Technical Architecture - Data Management	Must collect information in standardized formats to the extent feasible and appropriate.	

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Requirement Number	RFP Section	Requirement	Response
241.	IV.O.2 Operations Phase - Business Information and Technical Architecture - Data Management	Must implement controls to maintain information integrity. These controls must be in place at all appropriate points of processing. The controls must be tested in periodic audits using a methodology to be developed jointly by the State and the Contractor.	
242.	IV.O.3 Operations Phase - Business Information and Technical Architecture - Data Governance	Must provide, implement, and maintain a State approved Data Governance Plan that includes approach, strategy, methodology, process, tools, resourcing, quality and contingency aspects.	
243.	IV.O.3 Operations Phase - Business Information and Technical Architecture - Data Governance	Must participate and support the State in DMA governance, stewardship, and data management processes according to the Data Governance Plan.	
244.	IV.O.4 Operations Phase - Business Information and Technical Architecture - Master Data Management	Must provide, implement, and maintain a State approved Master Data Management Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.	
245.	IV.O.4 Operations Phase - Business Information and Technical Architecture - Master Data Management	Must support the global identification, linking and synchronization of entity (e.g. consumer, provider, facility) information across DMA data sources through semantic reconciliation of master data.	
246.	IV.O.4 Operations Phase - Business Information and Technical Architecture - Master Data Management	Must support ongoing master data stewardship and governance requirements through workflow-based monitoring and corrective-action techniques as defined in the Master Data Management Plan.	
247.	IV.O.4 Operations Phase - Business Information and Technical Architecture - Master Data Management	Must enable access and usability of single entity views providing essential identification and reference information across trading partners.	
248.	IV.O.4 Operations Phase - Business Information and Technical Architecture - Master Data Management	Must establish State approved automated processes and workflow for notifying the appropriate State systems of MDM impact transactions (e.g. member address changes).	
249.	IV.O.5 Operations Phase - Business Information and Technical Architecture - Data Models	Must provide, implement, and maintain a State approved Data Modeling Plan that includes strategy, methodology, process, tools, resourcing, quality and contingency aspects.	

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250.	IV.O.5 Operations Phase - Business Information and Technical Architecture - Data Models	Must provide, implement, and maintain State approved DMA Data Models for State Medicaid operations including meta, semantic, conceptual, logical, and physical data models based on State Medicaid business areas and processes.	
251.	IV.O.6 Operations Phase - Business Information and Technical Architecture - Data Integration	Must provide, implement, and maintain a State approved Data Integration Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.	
252.	IV.O.6 Operations Phase - Business Information and Technical Architecture - Data Integration	Must provide, implement, and maintain all State approved data integration processes (e.g., ETL, ELT).	
253.	IV.O.6 Operations Phase - Business Information and Technical Architecture - Data Integration	Must identify potential duplicate records and, upon confirmation of said duplicate record by the State, resolve the duplication such that the duplicate records are resolved (e.g. linked, merged).	
254.	IV.O.6 Operations Phase - Business Information and Technical Architecture - Data Integration	Must process transactions to merge and separate records as defined by the State.	
255.	IV.O.7 Operations Phase - Business Information and Technical Architecture - Data Sharing	Must provide, implement, and maintain a State approved Data Sharing Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.	
256.	IV.O.7 Operations Phase - Business Information and Technical Architecture - Data Sharing	Must support data semantics, data harmonization strategies, shared-data ownership, compliance, security & privacy, and the quality assurance of shared data as defined in the Data Sharing Plan.	
257.	IV.O.7 Operations Phase - Business Information and Technical Architecture - Data Sharing	Must provide, implement, and maintain middleware (e.g., ESB/interface/integration engine) that enables DMA to effectively exchange information with the State trading partners as defined in the Data Sharing Plan.	
258.	IV.O.7 Operations Phase - Business Information and Technical Architecture - Data Sharing	Must provide, implement, and maintain middleware (e.g., ESB/interface/integration engine) that streamlines the building, testing, and deploying of new and/or modified data exchanges.	

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259.	IV.O.7 Operations Phase - Business Information and Technical Architecture - Data Sharing	Must support the State in the adoption of national mechanisms used for data sharing (i.e., data hubs, repositories, and registries).	
260.	IV.O.7 Operations Phase - Business Information and Technical Architecture - Data Sharing	Must communicate with the State over a secure virtual private network (VPN) as needed.	
261.	IV.O.7 Operations Phase - Business Information and Technical Architecture - Data Sharing	Must transmit and receive data in compliance with all applicable Federal (including but not limited to HIPAA), and State standards and mandates, both currently and in the future.	
262.	IV.O.7 Operations Phase - Business Information and Technical Architecture - Data Sharing	Must provide a flexible framework that allows the import and export of data using industry standard file transmission protocols.	
263.	IV.O.7 Operations Phase - Business Information and Technical Architecture - Data Sharing	Must support open standards and industry standard protocols, such as Secure File Transfer (SFTP), SOAP over HTTPS and JMS/MO messages	
264.	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	Must work with the State and the State trading partners to identify and establish the optimal data exchanges and interfaces for the DMA solution, including mechanisms and methodologies for each data exchange and interface.	
265.	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	Must develop, implement, and maintain State approved Interface Control Documents (ICDs) that provide specifications and SLA's for each data exchange and interface.	
266.	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	Must develop, implement, and maintain a State approved catalogue of Interface Control Documents (ICDs).	
267.	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges &	Must transmit all appropriate data through the State data exchanges and interfaces as specified in the Interface Control Document.	

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	Interfaces		
268.	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	Must provide the capability to interface with existing and future systems via batch file transfers and transactionally via standard service.	
269.	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	Must work with the State to develop and support an effective data exchange between the DMA and all stakeholders involved in the DMA business processes, including the State.	
270.	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	Must send and receive files and transactions, in formats and methods specified by the State.	
271.	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	Must receive and investigate any discrepancies on data exchanges.	
272.	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	Must provide the ability to send and receive batch interfaces with the current MMIS solution.	
273.	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	Must support real time interfaces/service calls to interoperate and transfer data between the DMA and other systems (e.g. the new NTRAC eligibility system once implemented).	
274.	IV.O.8 Operations Phase - Business Information and Technical Architecture - Data Exchanges & Interfaces	Must provide the ability to import data into the system in multiple formats (e.g. XML, csv, fixed length, ASCII, tab-delimited)	
275.	IV.O.8 Operations Phase - Business Information and Technical Architecture -	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	

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Requirement Number	RFP Section	Requirement	Response
	Data Exchanges & Interfaces	agreed upon transfer mechanisms, and that meet the State file format and transfer protocol requirements.	
276.	IV.O.9 Operations Phase - Business Information and Technical Architecture - Data Transformation	Must provide, implement, and maintain a State approved Data Transformation Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.	
277.	IV.O.9 Operations Phase - Business Information and Technical Architecture - Data Transformation	Must provide, implement, and maintain the data transformation catalogue/index/metadata based on State approved requirements for the DMA solution, including mechanisms and methodologies for each.	
278.	IV.O.9 Operations Phase - Business Information and Technical Architecture - Data Transformation	Must provide, implement, and maintain State approved business and technical metadata, transformation logic, trace information, and physical data lineage for all applied data transformations, derived and enriched data, calculations, and aggregations.	
279.	IV.O.9 Operations Phase - Business Information and Technical Architecture - Data Transformation	Must provide, implement, and maintain a mechanism to facilitate transformation of data by mapping between State business areas, terms, attributes, and physical data element names, including business glossary and synonym support.	
280.	IV.O.10.a Operations Phase - Business Information and Technical Architecture - Enterprise Data Warehouse (EDW) - General	Must provide, implement, and maintain the State approved DMA Enterprise Data Warehouse (EDW) including all related conceptual and logical mechanisms.	
281.	IV.O.10.a Operations Phase - Business Information and Technical Architecture - Enterprise Data Warehouse (EDW) - General	Must operate a State approved continuous improvement process of the EDW.	
282.	IV.O.10.a Operations Phase - Business Information and Technical Architecture - Enterprise Data Warehouse (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.	

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Requirement Number	RFP Section	Requirement	Response
	General		
283.	IV.O.10.b Operations Phase - Business Information and Technical Architecture - Enterprise Data Warehouse (EDW) - EDW Architecture	Must provide, implement, and maintain a State approved Enterprise Data Warehouse (EDW) Architecture that provides EDW architecture views using architectural standards, includes alignment to all DMA related components of business, technology, and information, and addresses data semantics, data harmonization strategies, data ownership, compliance, security & privacy, and the quality assurance of EDW data.	
284.	IV.O.10.b Operations Phase - Business Information and Technical Architecture - Enterprise Data Warehouse (EDW) - EDW Architecture	Must provide, implement, and maintain multi-dimensional data architecture (e.g., data cubes, data marts) that supports both derived and aggregated data based on business area, function and process.	
285.	IV.O.10.c Operations Phase - Business Information and Technical Architecture - Enterprise Data Warehouse (EDW) - EDW Tools and Methods	Must provide, implement, and maintain EDW tools and methods that support design, development, deployment, and maintenance of the EDW.	
286.	IV.O.10.c Operations Phase - Business Information and Technical Architecture - Enterprise Data Warehouse (EDW) - EDW Tools and Methods	Must provide, implement, and maintain State approved data prototyping tools and methods to promote understanding of DMA EDW usage as aligned to business objectives.	
287.	IV.O.10.c Operations Phase - Business Information and Technical Architecture - Enterprise Data Warehouse (EDW) - EDW Tools and Methods	Must provide, implement, and maintain State approved data mining tools and methods to identify and report on various patterns, generalizations, dependencies, and anomalies within the data.	
288.	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	Must provide, implement, and maintain reporting and analytic tools and methods that provide users the ability to query, analyze, and report on multidimensional data.	

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Requirement Number	RFP Section	Requirement	Response
289.	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	Must provide, implement, and maintain reporting and analytic tools and methods that provide users the ability to slice, dice, and rollup the results of queries and analysis.	
290.	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	Must provide, implement, and maintain reporting and analytic tools and methods that support traditional, statistical, cluster, predictive, prescriptive, sampling, extrapolation, trending, and geospatial reporting and analysis.	
291.	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	Must provide, implement, and maintain reporting and analytic tools and methods that provide users the ability to establish and modify delivery schedule and mode of delivery for reports and analytics based on configurable rules.	
292.	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	Must provide, implement, and maintain reporting and analytic tools and methods that provide users the ability to merge geospatial datasets.	
293.	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	Must provide, implement, and maintain reporting and analytic tools and methods that provide users the ability to load and unload data efficiently.	
294.	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	Must provide, implement, and maintain reporting and analytic tools and methods that provide users the ability to integrate data through cross-platform SQL queries.	
295.	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	Must provide, implement, and maintain reporting and analytic tools and methods that provide users the ability to compare and synchronize data between different data sources.	
296.	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	Must provide, implement, and maintain reporting and analytic tools and methods that support statistical analysis (e.g. mathematical and statistical calculations).	

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297.	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	Must provide, implement, and maintain reporting and analytic tools and methods that support random sampling, using standard statistical methodologies for monitoring functions.	
298.	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	Must provide, implement, and maintain reporting and analytic tools and methods that support creating temporary data elements for reports by specifying functions that operate on existing data elements.	
299.	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	Must provide, implement, and maintain reporting and analytic tools and methods that provide the ability for use by novice and expert users to generate charts, graphs, and other visual representations of data results.	
300.	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	Must provide, implement, and maintain reporting and analytic tools and methods to create scorecards and dashboards.	
301.	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	Must provide, implement, and maintain reporting and analytic tools and methods that provide the ability to make all reporting assets (e.g. reports, dashboards) available through online, hardcopy, and industry standard data extract outputs including CSV, Microsoft Excel, Microsoft Word, and Adobe PDF.	
302.	IV.O.11 Operations Phase - Business Information and Technical Architecture - Reporting and Analytics Tools and Methods	Must provide, implement, and maintain reporting and analytic tools and methods that provide the ability to generate information (e.g. reports, data sets, alerts, notifications) based on configurable rules applied against queried data (e.g. notify User X if # of encounters exceed N), on demand or scheduled.	
303.	IV.O.12 Operations Phase - Business Information and Technical Architecture - Rules Engine & Rules Management	Must enable policies, rules, operational logic, and related decisions to be defined, tested, executed, and maintained separately from application code.	
304.	IV.O.12 Operations Phase - Business Information and Technical Architecture -	Must perform rules addition, deletion, and modification per State direction and approval without modifying the application code.	

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Requirement Number	RFP Section	Requirement	Response
	Rules Engine & Rules Management		
305.	IV.O.12 Operations Phase - Business Information and Technical Architecture - Rules Engine & Rules Management	Must support rules management (rules addition, deletion, modification and validation) in natural language, English-like syntax without the need to learn a specialized coding language.	
306.	IV.O.12 Operations Phase - Business Information and Technical Architecture - Rules Engine & Rules Management	Must provide the ability to clone rules, modify them and then implement them as new separate rules.	
307.	IV.O.12 Operations Phase - Business Information and Technical Architecture - Rules Engine & Rules Management	Must test, validate and receive State approval for rule changes prior to implementation.	
308.	IV.O.12 Operations Phase - Business Information and Technical Architecture - Rules Engine & Rules Management	Must provide the capability for users to receive push notifications/alerts based on user-configurable parameters (rules and/or rules groups).	
309.	IV.O.12 Operations Phase - Business Information and Technical Architecture - Rules Engine & Rules Management	Must provide the capability to track and report rule usage, exception usage, and when a rules fail to work as designed, and provide recommendations to resolve rule failure.	
310.	IV.O.12 Operations Phase - Business Information and Technical Architecture - Rules Engine & Rules Management	Must provide the capability for a multi-level rule review and approval process that will validate logic errors, conflicts, redundancy and incompleteness across business rules to identify any conflicts in business rules as they are being developed, tested, and implemented.	
311.	IV.O.12 Operations Phase - Business Information and Technical Architecture - Rules Engine & Rules Management	Must provide version control including the ability to revert to a prior version of the rules if there are unwanted or unexpected consequences of a rule change.	

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Requirement Number	RFP Section	Requirement	Response
312.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must provide, implement, and maintain a State approved DMA Audit and Control Plan that includes approach, strategy, architecture, methodology, process, tools, resourcing, quality and contingency aspects.	
313.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must track, log, and provide reporting on, in human readable format, data changes including State approved audit information such as the date, time and user or system making the change.	
314.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must track, log, and provide reporting on, in human readable format, inquiries, views, reports, or access of data that may require such tracking as a result of law, policy, or data use agreements including State approved audit information such as the date, time and user or system initiating the transaction.	
315.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must provide controls including preventive controls (i.e. controls designed to prevent errors and unauthorized events from occurring), detective controls (i.e. controls designed to identify errors and unauthorized transactions which have occurred in the system), and corrective controls (controls to ensure the correction of problems identified by detective controls).	
316.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must support the State during all external audits, reviews and collaborations such as Medi-Medi, PERM, TMSIS, OIG and 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.	
317.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must work with the State to provide external auditors access to data and participate in the audits as required by the State.	
318.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must document and store DMA data and maintain electronic audit trails throughout the data lineage.	

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Requirement Number	RFP Section	Requirement	Response
319.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must make system information available to duly authorized representatives of the State and other State or Federal agencies to evaluate, through inspections or other means, the quality, appropriateness, and timeliness of services performed.	
320.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must incorporate audit trails into all systems to allow information about source data files and documents to be traced through the processing stages to the point at which the information is finally recorded.	
321.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must support audit trail information for all transactions (user and system initiated) that includes the user, date/time and before/after values of data affected by the transaction and, if applicable, the ID of the system job that effected the action.	
322.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must provide the date and identification “stamp” displayed on any online inquiry.	
323.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must provide the ability to trace data from the final place of recording back to its source data file or document.	
324.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must support audit listings, transaction reports, update reports, transaction logs, or error logs.	
325.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must facilitate auditing of individual records as well as batch audits.	
326.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must maintain audit information online for no less than two years and be retrievable within 48 hours.	
327.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must capture and retain the data that was used at the point in time that a particular action took place. Subsequent changes to data elements should not overwrite the values used to make a determination	

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Requirement Number	RFP Section	Requirement	Response
		in the past	
328.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must provide inherent functionality that prevents the alteration of finalized audit records.	
329.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must maintain a comprehensive audit trail of systematic and physical access to PHI, PII and FTI.	
330.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must track and retain a log of all successful and unsuccessful logins.	
331.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must provide online retrieval and access to documents and files for six years in live systems and ten years in archival systems, for audit and reporting purposes.	
332.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	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.	
333.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must preserve data to support an audit or administrative, civil, or criminal investigation or prosecution in progress; or audit findings or administrative, civil, or criminal investigations or prosecutions are unresolved; then, information must be kept in electronic form until all tasks or proceedings are completed.	
334.	IV.O.13 Operations Phase - Business Information and Technical Architecture - DMA Auditing and Controls	Must retain historical data submission for a period not less than six years, following generally accepted retention guidelines.	
335.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must provide, implement, and maintain a State approved Infrastructure and Solution Lifecycle Management (ISLM) Plan that includes approach, strategy, methodology, process, tools, resourcing, quality and contingency aspects to manage, track, validate, support, and enforce the specific	

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Requirement Number	RFP Section	Requirement	Response
		development and implementation processes for delivering and maintaining the DMA solution, system components, and artifacts.	
336.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must provide and maintain all DMA environments (e.g., development, training, production) including licenses applicable for the DMA solution and designated DMA users.	
337.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must provide and maintain, capacity sufficient to handle the workload projected for the initial date of operations and must be scalable and flexible so that it can be adapted as needed, within negotiated timeframes, in response to allow for growth in participation volume.	
338.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must provide 100% accessibility via the internet and require no desktop software (including specialized plug ins and applets) except for a commercially available web browser.	
339.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must meet all American with Disabilities Act (ADA) and Limited English Proficiency (LEP) requirements	
340.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must ensure systems software used by the system (e.g., operating system, databases, web servers, and network management) must be a version that is currently supported under standard maintenance agreements and is generally available during the life of the contract.	
341.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must provide availability to systems applications and telecommunications during hours specified by the State;	

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Requirement Number	RFP Section	Requirement	Response
342.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must detect, track, monitor, and report on processing errors as a result of daily, weekly, monthly processing;	
343.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must ensure that all data systems are kept up-to-date, accurate and accessible to the State and/or its agents for inspection, upon request.	
344.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must ensure that bandwidth is sufficient to meet the performance requirements of this RFP.	
345.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must be responsible for all initial and recurring costs required for access to the State system(s), access to managed care entities and their trading partners, as well as the State access to the DMA's system(s). These costs include, but are not limited to, hardware, software, licensing, authority/permission to utilize any patents, annual maintenance, support, and connectivity with the State, the managed care entity and its trading partners.	
346.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must provide a continuously available electronic mail communication link (email system) to facilitate communication with the State. This email system must be capable of attaching and sending documents created using software compatible with the State's installed version of Microsoft Office and any subsequent upgrades as adopted.	
347.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must have in place written systems policies and procedures that document all manual and automated processes for its information systems, including the safeguarding of all its information.	

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Requirement Number	RFP Section	Requirement	Response
348.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must ensure that the systems and processes within its span of control associated with its data exchanges with the State are available and operational according to specifications and the data exchange schedule.	
349.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must respond in writing within five calendar days of notification from the State of a system issue.	
350.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must resolve the system issue or provide a requirements analysis and specifications document within 15 calendar days.	
351.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must correct system issues by the effective date to be approved by the State.	
352.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must not schedule systems downtime to perform system maintenance, repair, or upgrade activities to occur during hours that could compromise or prevent critical business operations, unless otherwise agreed to in advance by the State.	
353.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must work with the State on any testing initiative required by the State and must provide sufficient system access to allow the State staff to participate in the testing activities.	
354.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and	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	

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Requirement Number	RFP Section	Requirement	Response
	Solution Lifecycle Management	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.	
355.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must provide, implement, and maintain a State approved annual system refresh plan that must indicate how the DMA will ensure that the version and/or release level of all information system components (application software, operating hardware, and operating software) are always formally supported by the original equipment manufacturer (OEM), software development firm (SDF), or a third party authorized to support the information system component.	
356.	IV.O.14 Operations Phase - Business Information and Technical Architecture - DMA Infrastructure and Solution Lifecycle Management	Must provide, implement, maintain, and be continually ready to implement, a contingency plan to protect the availability, integrity, and security of data during unexpected failures or disasters (either natural or man-made), to continue essential application or information system functions during or immediately following the failure or disaster.	
357.	V.A Turnover – Phase Overview	Must support to the best of the Contractor's abilities the orderly turnover and transition of all operations to the State's designated successor.	
358.	V.B Turnover – 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.	
359.	V.B Turnover – Turnover Planning	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.	

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Requirement Number	RFP Section	Requirement	Response
360.	V.B Turnover – Turnover Planning	Must include in the Turnover Plan at a minimum, the proposed approach, tasks, schedule, entrance and exit criteria, training, readiness walkthrough process, and documentation update procedures.	
361.	V.B Turnover – Turnover Planning	Must participate in planning sessions with the State and successor contractor during the turnover phase.	
362.	V.C Turnover – Project Management and Systems Development Lifecycle	Must manage all aspects of the turnover that affect cost, schedule, performance (scope and quality), risk/issues/opportunities and resources that are under Contractor control.	
363.	V.C Turnover – Project Management and Systems Development Lifecycle	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.	
364.	V.C Turnover – Project Management and Systems Development Lifecycle	Must develop and submit for review and approval a turnover requirements Document; defining roles, responsibilities, and requirements for the State and/or successor contractor to complete a successful turnover process.	
365.	V.C Turnover – Project Management and Systems Development Lifecycle	Must attend and collaborate joint turnover management meetings with the State and or successor contractor.	
366.	V.C Turnover – Project Management and Systems Development Lifecycle	Must work with the State and or successor to integrate turnover work plans with dependencies and dates.	
367.	V.C Turnover – Project Management and Systems Development Lifecycle	Must include in the weekly status reporting a list of outstanding contractual items along with a plan for completing this items.	
368.	V.C Turnover – Project Management and Systems Development Lifecycle	Must include in the weekly status reporting a list, for approval by the State, of outstanding items to be transitioned to the State or successor.	
369.	V.D.1 Turnover – Performance and Status Reporting	Must submit all turnover items on the turnover inventory list in accordance with the turnover work plan.	
370.	V.D.1 Turnover – Performance and Status Reporting	Must have required expertise available at turnover meetings as request by the State. The state must provide at least one business day notice except in emergency situations.	

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371.	V.D.1 Turnover – Performance and Status Reporting	Must deduct any state required deductions from the contractor’s deliverable invoices.	
372.	V.D.1 Turnover – Performance and Status Reporting	Must develop and implement corrective action plans as requested by the state.	
373.	V.D.2 Turnover – Performance and Status Reporting	Must prepare and submit a weekly status report specific to turnover activities.	
374.	V.D.2 Turnover – Performance and Status Reporting	Must prepare and submit a monthly status report specific to turnover activities.	
375.	V.D.2 Turnover – Performance and Status Reporting	Must prepare and submit a quarterly status report specific to turnover activities.	
376.	V.D.2 Turnover – Performance and Status Reporting	Must produce transaction data, reports, and performance information that would contribute to program evaluation, continuous improvement in business operations, and transparency and accountability.	
377.	V.E Turnover – Close-Out 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.	
378.	V.E Turnover – Close-Out Deliverables	Must perform work and submit deliverables for state or designated agent review and approval in accordance with the approved frequency as identified in the deliverable catalog.	
379.	V.E Turnover – Close-Out Deliverables	Must allow sufficient time to review and approve each deliverable by scaling to the size and complexity of the deliverable.	
380.	V.E Turnover – Close-Out Deliverables	Must conduct deliverable review sessions prior to submission to the State or designated agent.	
381.	V.E Turnover – Close-Out Deliverables	Must complete all deliverables up to and including State approval prior to turning operations of the solution over to the state or prospective contractor.	

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382.	V.E Turnover – Close-Out Deliverables	Must provide documentation of all necessary resource requirements including staff, hardware and software requirements for successful turnover.	
383.	V.F Turnover – Quality Assurance and Monitoring	Must update the Operations Quality Assurance Plan for turnover procedures and deliver to the state for approval.	
384.	V.F Turnover – Quality Assurance and Monitoring	Must validate that the Quality Assurance Plan or series of plans for turnover activities has been executed accurately.	
385.	V.F Turnover – Quality Assurance and Monitoring	Must manage, perform and monitor the remaining Quality Assurance steps of the plan.	
386.	V.F Turnover – Quality Assurance and Monitoring	Must maintain the process of recording and addressing corrective and preventive actions through the turnover phase.	
387.	V.F Turnover – Quality Assurance and Monitoring	Must identify and track defects and service level deficiencies.	
388.	V.F Turnover – Quality Assurance and Monitoring	Must use the established rating system for defects.	
389.	V.F Turnover – Quality Assurance and Monitoring	Must certify that all turnover items and deliverables have been completed to the best of the ability of the contractor in aiding the State and/or successor contractor be successful in turnover.	
390.	V.F Turnover – Quality Assurance and Monitoring	Must ensure compliance with all Privacy and Security regulations during the turnover phase and maintain confidentiality in the transmission of documentation to the State or the successor contractor.	
391.	V.F Turnover – Quality Assurance and Monitoring	Must identify and document any issues or deficiencies that remain unresolved at the end of the turnover phase.	
392.	V.G Turnover – Change Management	Must request and receive State approval prior to implementing a change during the turnover phase of the contract.	
393.	V.G Turnover – Change Management	Must update and submit for review and approval the Operational Change Management Plan to address turnover based on the methodologies proposed to manage and implement changes to the production system during the turnover phase of the contract.	

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Requirement Number	RFP Section	Requirement	Response
394.	V.G Turnover – Change Management	Must put into practice and follow the approved updates to the Operational Change Management Plan for Turnover and use sound System Development Life Cycle (SDLC) methodologies to implement system changes while maintain production system operations.	
395.	V.G Turnover – Change Management	Must maintain a formal process to track and manage change requests within the turnover phase of the contract.	
396.	V.G Turnover – Change Management	Must provide a projection of change requests to be implemented in the upcoming months prior to turnover.	
397.	V.G Turnover – Change Management	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.	
398.	V.G Turnover – Change Management	Must perform a MITA assessment of all change requests and coordinate with the State's MITA Coordinator.	
399.	V.G Turnover – Change Management	Must submit all change requests and analysis results to the State Change Review Board for disposition and prioritization.	
400.	V.G Turnover – Change Management	Must develop and submit for review and approval a detailed Integrated Master Schedule (IMS) for all approved changes; addressing each phase the SDLC and identifying all integration points and dependencies between all contractors and the State including interfaces, inputs, and outputs that the contractor requires from other contractors, the State, or other impacted entities.	
401.	V.G Turnover – Change Management	Must design, develop, test and implement approved changes within the approved IMS timeframes.	
402.	V.G Turnover – Change Management	Must implement changes in a manner with the least possible impact to operations and turnover timeframes while maintaining a high quality delivery.	
403.	V.G Turnover – Change Management	Must provide the ability to rapidly revert to the previous system configuration when a newly implemented change causes an undesirable impact,	

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		as defined within the approved Change Management Plan.	
404.	V.G Turnover – Change Management	Must develop and submit for review and approval a remediation plan for reconfiguration and redeployment when a newly implemented change causes an undesirable impact, as defined within the approved Change Management Plan.	
405.	V.G Turnover – Change Management	Must include in the weekly status report an update on the status of each change request in work.	
406.	V.G Turnover – Change Management	Must submit weekly detailed accounting to the State's satisfaction, of the work performed by each individual billing time to change requests.	
407.	V.H Turnover – Data and Record Migration and Turnover	Must include details regarding data and record migration within the turnover plan.	
408.	V.H Turnover – Data and Record Migration and Turnover	Must conduct data and related content refreshes according to the approved plan.	
409.	V.H Turnover – Data and Record Migration and Turnover	Must comply with all applicable Federal and State rules, regulations and requirements for all program information, data, and correspondence that is received and/or produced.	
410.	V.H Turnover – Data and Record Migration and Turnover	Must transition all data to the State or successor in the documented physical data model format per the approved turnover plan and schedule. If the Contractor's data model is proprietary, the Contractor may transition in another format, but must provide documentation of the model format including data relationships.	
411.	V.H Turnover – Data and Record Migration and Turnover	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.	

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Requirement Number	RFP Section	Requirement	Response
412.	V.I Turnover – Organizational Staffing	Must submit and maintain an Organizational Chart for the Turnover Phase.	
413.	V.I Turnover – Organizational Staffing	Must provide a full-time designated turnover manager as a designated point person to interact with the State and successor contractor until contract closeout is completed.	
414.	V.I Turnover – Organizational Staffing	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.	
415.	V.I Turnover – Organizational Staffing	Must submit a Staffing Contingency Plan for operations during the Turnover Phase.	
416.	V.I Turnover – Organizational Staffing	Must acquire State approval for key staff and key staff replacements.	
417.	V.I Turnover – Organizational Staffing	Must provide unrestricted access to appropriate Contractor personnel for discussion of problems or concerns.	
418.	V.I Turnover – Organizational Staffing	Must cooperate with the State and successor contractor on transition of staff supporting the contract to either the state or the successor.	
419.	V.I Turnover – Organizational Staffing	Must not in any way interfere with the transition of employees and subcontractors to the state or a successor.	
420.	V.J Turnover – Cooperation with Successor	Must provide open access of knowledgeable teams to the state and / or successor contractor to answer questions.	
421.	V.J Turnover – Cooperation with Successor	Must coordinate and facilitate timely transition to the state and / or successor contractor.	
422.	V.J Turnover – Cooperation with Successor	Must not interfere in any way with the transition to the state and / or successor contractor.	
423.	V.J Turnover – Cooperation with Successor	Must provide direction in identifying the necessary processes and procedures for maintenance and support activities.	
424.	V.J Turnover – Cooperation with Successor	Must provide business operations support as the successor begins assuming the business operations functions.	

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425.	V.J Turnover – Cooperation with Successor	Must demonstrate how the system tools are used to operate, control and maintain the system.	
426.	V.J Turnover – Cooperation with Successor	Must collaborate with the successor to develop a customized methodology to work with the new technology and infrastructure implemented.	
427.	V.J Turnover – Cooperation with Successor	Must review the system's stability and performance, system recovery, operations and threshold compliance with the successor.	
428.	V.J Turnover – Cooperation with Successor	Must provide modifications and corrective actions taken to add to or resolve any deficiencies or omissions discovered in the system.	
429.	V.J Turnover – Cooperation with Successor	Must provide technical support (e.g. system-related problems, routine maintenance and error resolution, database administration functions, software distribution), as needed during transition.	
430.	V.J Turnover – Cooperation with Successor	Must provide knowledge transfer/onsite training to the successor.	
431.	V.J Turnover – Cooperation with Successor	Must plan, facilitate and document turnover discussions among stakeholders.	
432.	V.K Turnover – Contract Closeout	Must complete all activities to the State's satisfaction within the State approved turnover plan, turnover inventory, and work plan.	
433.	V.K Turnover – Contract Closeout	Must transfer all State owned property to the State or State's designee in an orderly manner.	
434.	V.K Turnover – Contract Closeout	Must transition all leases, licenses, etc. for materials or services to the State or designee. (e.g. toll free phone lines, post office boxes, web addresses, hardware, software, facilities, etc.). The State has sole discretion on whether a material or service is not necessary for transfer.	
435.	V.K Turnover – Contract Closeout	Must provide all finalized and production ready documentation organized and cataloged (e.g. User Manual, Business Operating Procedures, Technical Operating Procedures, Training Guide).	
436.	V.K Turnover – Contract Closeout	Must provide all system data to the State or successor (e.g. files, records, transactions).	
437.	V.K Turnover – Contract Closeout	Must complete all work required of the contractor during the Operations phase of the contract unless	

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		otherwise agreed to by the State for turnover to the State or successor.	
438.	V.K Turnover – Contract Closeout	Must implement all maintenance, and started changes in accordance with the agreed upon system release schedule defined in the Operations Change Management Phase.	
439.	V.K Turnover – Contract Closeout	Must resolve malfunctions/defects which existed in the system prior to turnover or which were caused by lack of support at turnover in accordance with the agreed upon response and resolution schedule.	
440.	V.K Turnover – Contract Closeout	Must permanently destroy all confidential data and protected health information entrusted to the Contractor for the performance of the contract upon approval of the State.	
441	V.K Turnover – Contract Closeout	Must provide an attestation signed by an officer of the contractor's organization that all transition activities have been completed and all requirements have been met.	