



CONTRACT AMENDMENT COVER SHEET

Agency Tracking #	Edison ID	Contract #	Amendment #		
31865-00470	51758		6		
Contractor Legal Entity Name			Edison Vendor ID		
Deloitte Consulting LLP			0000135163		
Amendment Purpose & Effect(s)					
Term Extension, Maximum Liability Increase, and Language					
Amendment Changes Contract End Date: <input checked="checked" type="checkbox"/> YES <input type="checkbox"/> NO		End Date: September 30,2024			
TOTAL Contract Amount INCREASE or DECREASE per this Amendment (zero if N/A):			\$ 163,721,787.47		
Funding —					
FY	State	Federal	Interdepartmental	Other	TOTAL Contract Amount
2017	\$3,456,867.00	\$31,111,803.05			\$34,568,670.05
2018	\$7,276,273.30	\$48,993,687.74			\$56,269,961.04
2019	\$12,892,693.93	\$67,686,643.13			\$80,579,337.06
2020	\$7,633,001.84	\$53,857,409.62			\$61,490,411.46
2021	\$21,159,386.96	\$111,086,781.57			\$132,246,168.53
2022	\$30,583,772.32	\$115,053,238.72			\$145,637,011.04
2023	\$21,044,557.89	\$95,710,859.65			\$116,755,417.54
2024	\$20,448,913.64	\$122,107,981.55			\$142,556,895.19
2025	\$11,150,809.57	\$41,869,720.94			\$53,020,530.51
TOTAL:	\$135,646,276.45	\$687,478,125.97			\$823,124,402.42
<div style="display: flex; justify-content: space-between; align-items: flex-start;"> <div style="width: 45%;"> <p>Budget Officer Confirmation: There is a balance in the appropriation from which obligations hereunder are required to be paid that is not already encumbered to pay other obligations.</p> <p style="font-size: 24pt; margin-top: 20px;">Crystal G. Allen</p> <div style="display: flex; align-items: center; margin-top: 10px;"> <p style="font-size: 8pt; margin: 0;">Digitally signed by: Crystal G. Allen DN: CN = Crystal G. Allen email = Crystal.G.Allen@tn.gov C = US O = TennCare OU = Budget Date: 2023.08.23 08:59:01 -06'00'</p> </div> </div> <div style="width: 45%; text-align: center; vertical-align: top;"> <p style="color: gray; font-style: italic;">CPO USE</p> </div> </div>					
Speed Chart (optional)		Account Code (optional)			

**AMENDMENT #6
OF CONTRACT 51758
BETWEEN THE STATE OF TENNESSEE,
DEPARTMENT OF FINANCE AND ADMINISTRATION,
DIVISION OF HEALTH CARE FINANCE AND ADMINISTRATION
AND
DELOITTE CONSULTING LLP**

This Amendment is made and entered by and between the State of Tennessee, Department of Finance and Administration, Division of TennCare, hereinafter referred to as the "State" and Deloitte Consulting LLP, hereinafter referred to as the "Contractor." For good and valuable consideration, the sufficiency of which is hereby acknowledged, it is mutually understood and agreed by and between said, undersigned contracting parties that the subject contract is hereby amended as follows:

1. Contract sections B.1 is hereby deleted in its entirety and replaced with the following:

B.1 This Contract shall be effective for the period beginning October 1, 2016 ("Effective Date") and ending on September 30, 2024 ("Term"). The State shall have no obligation for goods or services provided by the Contractor prior to the Effective Date.

2. Contract Section C.1. is deleted in its entirety and replaced with the following:

C.1 Maximum Liability. In no event shall the maximum liability of the State under this Contract exceed Eight Hundred Twenty-Three Million One Hundred Twenty-Four Thousand Four Hundred Two Dollars and Forty-Two Cents (\$823,124,402.42) ("Maximum Liability"). This Contract does not grant the Contractor any exclusive rights. The State does not guarantee that it will buy any minimum quantity of goods or services under this Contract. Subject to the terms and conditions of this Contract, the Contractor will only be paid for goods or services provided under this Contract after a purchase order is issued to Contractor by the State or as otherwise specified by this Contract.

3. Contract Section C.3.c(1) is deleted in its entirety and replaced with the following:

1) Compensation to the Contractor for Special Project Change Orders shall not exceed Four Hundred Seventeen Million Fourteen Thousand Nine Hundred Eighty-Three Dollars and Twenty-Seven Cents (\$417,014,983.27).

Required Approvals. The State is not bound by this Amendment until it is signed by the contract parties and approved by appropriate officials in accordance with applicable Tennessee laws and regulations (depending upon the specifics of this contract, said officials may include, but are not limited to, the Commissioner of Finance and Administration, the Commissioner of Human Resources, and the Comptroller of the Treasury).

Amendment Effective Date. The revisions set forth herein shall be effective once all required approvals are obtained. All other terms and conditions of this Contract not expressly amended herein shall remain in full force and effect.

IN WITNESS WHEREOF,

DELOITTE CONSULTING LLP:

Michael Connors

SIGNATURE



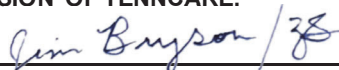
DATE

8/18/2023

PRINTED NAME AND TITLE OF SIGNATORY (above)

DEPARTMENT OF FINANCE AND ADMINISTRATION,

DIVISION OF TENNCARE:



JIM BRYSON, COMMISSIONER

8/18/2023

DATE



CONTRACT AMENDMENT COVER SHEET

Agency Tracking # 31865-00470	Edison ID 51758	Contract #	Amendment # 5		
Contractor Legal Entity Name Deloitte Consulting, LLP			Edison Vendor ID 0000135163		
Amendment Purpose & Effect(s) Term Extension, Maximum Liability Increase, and Language					
Amendment Changes Contract End Date: <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO		End Date: September 30, 2023			
TOTAL Contract Amount INCREASE or DECREASE per this Amendment (zero if N/A):			\$ 127,422,549.89		
Funding —					
FY	State	Federal	Interdepartmental	Other	TOTAL Contract Amount
2017	\$3,456,867.00	\$31,111,803.05			\$34,568,670.05
2018	\$7,276,273.30	\$48,993,687.74			\$56,269,961.04
2019	\$12,892,693.93	\$67,686,643.13			\$80,579,337.06
2020	\$7,633,001.84	\$53,857,409.62			\$61,490,411.46
2021	\$21,159,386.96	\$111,086,781.57			\$132,246,168.53
2022	\$30,583,772.32	\$115,053,238.72			\$145,637,011.04
2023	\$21,044,557.89	\$95,710,859.65			\$116,755,417.54
2024	\$5,461,028.87	\$26,394,609.36			\$31,855,638.23
TOTAL:	\$109,507,582.11	\$549,895,032.84			\$659,402,614.95
Budget Officer Confirmation: There is a balance in the appropriation from which obligations hereunder are required to be paid that is not already encumbered to pay other obligations. <div style="display: flex; align-items: center;"> <div style="font-size: 2em; font-weight: bold; margin-right: 20px;">Crystal G. Allen</div> <div> Digitally signed by: Crystal G. Allen DN: CN = Crystal G. Allen email = Crystal.G.Allen@tn.gov C = US O = TennCare OU = TennCare/Budget Date: 2022.06.20 17:10:27 -06'00' </div> </div>			<i>CPO USE</i>		
Speed Chart (optional)		Account Code (optional)			

**AMENDMENT #5
OF CONTRACT 51758
BETWEEN THE STATE OF TENNESSEE,
DEPARTMENT OF FINANCE AND ADMINISTRATION,
DIVISION OF HEALTH CARE FINANCE AND ADMINISTRATION
AND
DELOITTE CONSULTING LLP**

This Amendment is made and entered by and between the State of Tennessee, Department of Finance and Administration, Division of TennCare, hereinafter referred to as the "State" and Deloitte Consulting LLP, hereinafter referred to as the "Contractor." For good and valuable consideration, the sufficiency of which is hereby acknowledged, it is mutually understood and agreed by and between said, undersigned contracting parties that the subject contract is hereby amended as follows:

1. Contract sections B.1 and B.2 are hereby deleted in their entirety and replaced with the following:

- B.1 This Contract shall be effective for the period beginning October 1, 2016 ("Effective Date") and ending on September 30, 2023 ("Term"). The State shall have no obligation for goods or services provided by the Contractor prior to the Effective Date.
- B.2 Renewal Options. This Contract may be renewed upon satisfactory completion of the Term. The State reserves the right to execute up to one (1) renewal options under the same terms and conditions for a period not to exceed twelve (12) months each by the State, at the State's sole option. In no event, however, shall the maximum term, including all renewals or extensions, exceed a total of ninety-six (96) months. All renewals will be effectuated via a mutually agreed to amendment pursuant to Section D.3 of this Contract.

2. Contract Section C.1. is deleted in its entirety and replaced with the following:

C.1 Maximum Liability. In no event shall the maximum liability of the State under this Contract exceed Six Hundred Fifty-Nine Million Four Hundred Two Thousand Six Hundred Fourteen Dollars and Ninety-Five Cents (\$ 659,402,614.95) ("Maximum Liability"). This Contract does not grant the Contractor any exclusive rights. The State does not guarantee that it will buy any minimum quantity of goods or services under this Contract. Subject to the terms and conditions of this Contract, the Contractor will only be paid for goods or services provided under this Contract after a purchase order is issued to Contractor by the State or as otherwise specified by this Contract.

3. Contract Section C.3.c(1) is deleted in its entirety and replaced with the following:

- 1) Compensation to the Contractor for Special Project Change Orders shall not exceed Three Hundred Eighteen Million Four Hundred Three Thousand Two Hundred Ninety-Two Dollars and Fifty-Three Cents (\$ 318,403,292.53).

Required Approvals. The State is not bound by this Amendment until it is signed by the contract parties and approved by appropriate officials in accordance with applicable Tennessee laws and regulations (depending upon the specifics of this contract, said officials may include, but are not limited to, the Commissioner of Finance and Administration, the Commissioner of Human Resources, and the Comptroller of the Treasury).

Amendment Effective Date. The revisions set forth herein shall be effective once all required approvals are obtained. All other terms and conditions of this Contract not expressly amended herein shall remain in full force and effect.

IN WITNESS WHEREOF,
DELOITTE CONSULTING LLP:



August 26, 2022

SIGNATURE

DATE

Michael F. Connors, Principal

PRINTED NAME AND TITLE OF SIGNATORY (above)

DEPARTMENT OF FINANCE AND ADMINISTRATION,
DIVISION OF TENNCARE:

Jim Bryson

 Digitally signed by Jim Bryson
Date: 2022.09.15 09:00:34 -05'00'

JIM BRYSON, COMMISSIONER

DATE



CONTRACT AMENDMENT COVER SHEET

Agency Tracking # 31865-00470	Edison ID 51758	Contract #	Amendment # 4		
Contractor Legal Entity Name Deloitte Consulting, LLP			Edison Vendor ID 0000135163		
Amendment Purpose & Effect(s) Term Extension, Maximum Liability Increase, and Language					
Amendment Changes Contract End Date: <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO		End Date: September 30, 2022			
TOTAL Contract Amount INCREASE or DECREASE per this Amendment (zero if N/A):			\$ 135,450,000.00		
Funding —					
FY	State	Federal	Interdepartmental	Other	TOTAL Contract Amount
2017	\$3,456,867.00	\$31,111,803.05			\$34,568,670.05
2018	\$7,276,273.30	\$48,993,687.74			\$56,269,961.04
2019	\$12,892,693.93	\$67,686,643.13			\$80,579,337.06
2020	\$7,633,001.84	\$53,857,409.62			\$61,490,411.46
2021	\$21,159,386.96	\$111,086,781.57			\$132,246,168.53
2022	\$30,583,772.32	\$115,053,238.72			\$145,637,011.04
2023	\$4,661,471.29	\$16,527,034.59			\$21,188,505.88
TOTAL:	\$75,332,293.74	\$456,647,771.32			\$531,980,065.06
<p>Budget Officer Confirmation: There is a balance in the appropriation from which obligations hereunder are required to be paid that is not already encumbered to pay other obligations.</p> <p style="font-size: 1.2em; font-family: cursive; margin-top: 20px;"><i>Zane Seals</i></p>			<p><i>CPO USE</i></p>		
Speed Chart (optional)		Account Code (optional)			

**AMENDMENT #4
OF CONTRACT 51758
BETWEEN THE STATE OF TENNESSEE,
DEPARTMENT OF FINANCE AND ADMINISTRATION,
DIVISION OF HEALTH CARE FINANCE AND ADMINISTRATION
AND
DELOITTE CONSULTING LLP**

This Amendment is made and entered by and between the State of Tennessee, Department of Finance and Administration, Division of TennCare, hereinafter referred to as the "State" and Deloitte Consulting LLP, hereinafter referred to as the "Contractor." For good and valuable consideration, the sufficiency of which is hereby acknowledged, it is mutually understood and agreed by and between said, undersigned contracting parties that the subject contract is hereby amended as follows:

1. Contract sections B.1 and B.2 are hereby deleted in their entirety and replaced with the following:

- B.1 This Contract shall be effective for the period beginning October 1, 2016 ("Effective Date") and ending on September 30, 2022 ("Term"). The State shall have no obligation for goods or services provided by the Contractor prior to the Effective Date.
- B.2 Renewal Options. This Contract may be renewed upon satisfactory completion of the Term. The State reserves the right to execute up to three (3) renewal options under the same terms and conditions for a period not to exceed twelve (12) months each by the State, at the State's sole option. In no event, however, shall the maximum term, including all renewals or extensions, exceed a total of ninety-six (96) months. All renewals will be effectuated via a mutually agreed to amendment pursuant to Section D.3 of this Contract.

2. Contract Section C.1. is deleted in its entirety and replaced with the following:

C.1 Maximum Liability. In no event shall the maximum liability of the State under this Contract exceed Five Hundred Thirty-One Million Nine Hundred Eighty Thousand Sixty-Five Dollars and Six Cents (\$531,980,065.06) ("Maximum Liability"). This Contract does not grant the Contractor any exclusive rights. The State does not guarantee that it will buy any minimum quantity of goods or services under this Contract. Subject to the terms and conditions of this Contract, the Contractor will only be paid for goods or services provided under this Contract after a purchase order is issued to Contractor by the State or as otherwise specified by this Contract.

3. Contract Section C.3.c(1) is deleted in its entirety and replaced with the following:

- 1) Compensation to the Contractor for Special Project Change Orders shall not exceed Two Hundred Fifty-One Million Six Hundred Fifty-Nine Thousand Eight Hundred Fourteen Dollars and Twenty-One Cents (\$251,659,814.21).

Required Approvals. The State is not bound by this Amendment until it is signed by the contract parties and approved by appropriate officials in accordance with applicable Tennessee laws and regulations (depending upon the specifics of this contract, said officials may include, but are not limited to, the Commissioner of Finance and Administration, the Commissioner of Human Resources, and the Comptroller of the Treasury).

Amendment Effective Date. The revisions set forth herein shall be effective once all required approvals are obtained. All other terms and conditions of this Contract not expressly amended herein shall remain in full force and effect.

IN WITNESS WHEREOF,
DELOITTE CONSULTING LLP:



May 25, 2021

SIGNATURE

DATE

Michael Connors, Principal

PRINTED NAME AND TITLE OF SIGNATORY (above)

DEPARTMENT OF FINANCE AND ADMINISTRATION,
DIVISION OF TENNCARE:

Butch Eley



Digitally signed by Butch Eley
Date: 2021.05.25 15:09:25 -05'00'

BUTCH ELEY, COMMISSIONER

DATE



CONTRACT AMENDMENT COVER SHEET

Agency Tracking # 31865-00470	Edison ID 51758	Contract #	Amendment # #3
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Contractor Legal Entity Name Deloitte Consulting, LLP	Edison Vendor ID 0000135163
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Amendment Purposes & Effect(s)
Language Adjustments and Maximum Liability Increase

Amendment Changes Contract End Date: YES NO **End Date:** September 30, 2021


TOTAL Contract Amount INCREASE or DECREASE per this Amendment (zero if N/A): \$124,400,000.00

Funding ---

FY	State	Federal	Interdepartmental	Other	TOTAL Contract Amount
2017	\$3,456,867.00	\$31,111,803.05	\$0.00	\$0.00	\$34,568,670.05
2018	\$7,276,273.30	\$48,993,687.74	\$0.00	\$0.00	\$56,269,961.04
2019	\$12,892,693.93	\$67,686,643.13	\$0.00	\$0.00	\$80,579,337.06
2020	\$7,633,001.84	\$53,857,409.62	\$0.00	\$0.00	\$61,490,411.46
2021	\$20,512,619.41	\$111,834,070.04	\$0.00	\$0.00	\$132,346,689.45
2022	\$5,894,999.45	\$25,379,996.55	\$0.00	\$0.00	\$31,274,996.00
TOTAL:	\$57,666,454.93	\$338,863,610.13	\$0.00	\$0.00	\$396,530,065.06

American Recovery and Reinvestment Act (ARRA) Funding: YES NO

Budget Officer Confirmation: There is a balance in the appropriation from which obligations hereunder are required to be paid that is not already encumbered to pay other obligations.



CPO Use - FA

Speed Code (optional)	Account Code (optional)

**AMENDMENT #3
OF CONTRACT 51758
BETWEEN THE STATE OF TENNESSEE,
DEPARTMENT OF FINANCE AND ADMINISTRATION,
DIVISION OF TENNCARE
AND
DELOITTE CONSULTING LLP**

This Amendment is made and entered by and between the State of Tennessee, Department of Finance and Administration, Division of TennCare, hereinafter referred to as the "State" and Deloitte Consulting LLP, hereinafter referred to as the "Contractor." For good and valuable consideration, the sufficiency of which is hereby acknowledged, it is mutually understood and agreed by and between said, undersigned contracting parties that the subject contract is hereby amended as follows:

1. Contract Sections B.2 is deleted in its entirety and replaced with the following:

B.2. Renewal Options. This Contract may be renewed upon satisfactory completion of the Term. The State reserves the right to execute up to four (4) renewal options under the same terms and conditions for a period not to exceed twelve (12) months each by the State, at the State's sole option. In no event, however, shall the maximum term, including all renewals or extensions, exceed a total of ninety-six (96) months. All renewals will be effectuated via a mutually agreed to amendment pursuant to Section D.3 of this Contract.

2. Contract Section C.1. is deleted in its entirety and replaced with the following:

C.1 Maximum Liability. In no event shall the maximum liability of the State under this Contract exceed Three Hundred Ninety-Six Million Five Hundred Thirty Thousand Sixty-Five Dollars and Six Cents (\$396,530,065.06) ("Maximum Liability"). This Contract does not grant the Contractor any exclusive rights. The State does not guarantee that it will buy any minimum quantity of goods or services under this Contract. Subject to the terms and conditions of this Contract, the Contractor will only be paid for goods or services provided under this Contract after a purchase order is issued to Contractor by the State or as otherwise specified by this Contract.

3. Contract Section C.3.c(1) is deleted in its entirety and replaced with the following:

C.3.c(1) Compensation to the Contractor for Special Project Change Orders shall not exceed One Hundred Eighty-One Million Four Hundred Nine Thousand Eight Hundred Fourteen Dollars and Twenty-One Cents (\$181,409,814.21).

Required Approvals. The State is not bound by this Amendment until it is signed by the contract parties and approved by appropriate officials in accordance with applicable Tennessee laws and regulations (depending upon the specifics of this contract, said officials may include, but are not limited to, the Commissioner of Finance and Administration, the Commissioner of Human Resources, and the Comptroller of the Treasury).

Amendment Effective Date. The revisions set forth herein shall be effective July 1, 2020. All other terms and conditions of this Contract not expressly amended herein shall remain in full force and effect.

IN WITNESS WHEREOF,

DELOITTE CONSULTING LLP:

Michael Connors

5/26/2020

SIGNATURE

DATE

MICHAEL CONNORS PRINCIPAL

PRINTED NAME AND TITLE OF SIGNATORY (above)

DEPARTMENT OF FINANCE AND ADMINISTRATION,

DIVISION OF TENNCARE:

Butch Eley


5/28/20

BUTCH ELEY, COMMISSIONER

DATE



CONTRACT AMENDMENT COVER SHEET

Agency Tracking # 31865-00470	Edison ID 51758	Contract #	Amendment # 2
Contractor Legal Entity Name Deloitte Consulting, LLP			Edison Vendor ID 0000135163
Amendment Purpose & Effect(s) Language Adjustments and Maximum Liability Increase			
Amendment Changes Contract End Date: <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO		End Date: Current: September 30, 2021	
TOTAL Contract Amount INCREASE or DECREASE per this Amendment (zero if N/A):			\$ 88,000,000.00
Funding —			
FY	State	Federal	TOTAL Contract Amount
2017	\$3,456,867.00	\$31,111,803.05	\$34,568,670.05
2018	\$7,276,273.30	\$48,993,687.74	\$56,269,961.04
2019	\$12,892,693.93	\$67,686,643.13	\$80,579,337.06
2020	\$7,633,001.84	\$53,857,409.62	\$61,490,411.46
2021	\$6,977,618.67	\$32,244,066.78	\$39,221,685.45
TOTAL:	\$38,236,454.74	\$233,893,610.32	\$272,130,065.06
Budget Officer Confirmation: There is a balance in the appropriation from which obligations hereunder are required to be paid that is not already encumbered to pay other obligations.		<i>CPO USE</i>	
			
Speed Chart (optional)	Account Code (optional)		

**AMENDMENT #2
OF CONTRACT 51758
BETWEEN THE STATE OF TENNESSEE,
DEPARTMENT OF FINANCE AND ADMINISTRATION,
DIVISION OF HEALTH CARE FINANCE AND ADMINISTRATION
AND
DELOITTE CONSULTING LLP**

This Amendment is made and entered by and between the State of Tennessee, Department of Finance and Administration, Division of TennCare, hereinafter referred to as the "State" and Deloitte Consulting LLP, hereinafter referred to as the "Contractor." For good and valuable consideration, the sufficiency of which is hereby acknowledged, it is mutually understood and agreed by and between said, undersigned contracting parties that the subject contract is hereby amended as follows:

1. Contract Section A.4 is hereby amended by the addition of the following new Contract Section A. 4.6:

A.4.6. TEDS Functionality for Medicaid Enterprise Systems Services. TennCare may, in its sole discretion, request that Contractor provide additional system integration services to be used in connection with TennCare programs by taking the functionality developed by the Contractor for TEDS and leveraging it across other aspects of TennCare's Medicaid Enterprise Systems, including but not limited to, Medicaid Management Information Systems (MMIS) projects, Identity Access Management (IAM), Medicaid Enterprise Systems (MES) projects, Medicaid Eligibility and Enrollment (E&E) Enterprise projects, TennCare Enterprise Architecture projects, Medicaid Appeals Tracking System (MATS) projects and Medicaid Eligibility and Enrollment Lifecycle (MEECL) projects. Each such system integration project shall be performed, as applicable, through a Special Project Change Order pursuant to Section A.28.

2. Contract Section A.10.13.5.1 is deleted in its entirety and replaced with the following:

A.10.13.5.1 Upon determination by the State that enhancements (changes and modifications to the system during DDI or O&M, over and beyond original specifications and requirements) are warranted, the Contractor shall create a Special Projects Change Order for the State's approval. Special Projects Change Orders shall follow the Change Order process defined in Section A.28 below.

3. Contract Section A.26.1.2 is deleted in its entirety and replaced with the following:

A.26.1.2 The Contract shall provide a Warranty Period of twelve (12) months for each Release of the Solution upon deployment in the production environment, as described in Section A.26.1.5. For the purposes of Section A.26, Release shall include all DDI releases, as well as all Special Project Change Order releases.

4. Contract Sections A.28.1, A.28.2, A.28.3, and A.28.5.6, are hereby deleted in their entirety and replaced with the following:

A.28.1 Special Projects are additional projects or services that the State may, at its sole discretion, initiate and assign to the Contractor during the term of the Contract, including (a) for the performance of services, fulfillment of additional requirements, or creation of deliverables (Services) outside those set forth in the DDI Scope of Services or O&M Scope of Services of this Contract and (b) for the performance of services as contemplated under Section A.4.6.

A.28.2 Reserved.

A.28.3. Reserved.

A.28.5.6 A fixed price for all Services under the Special Project Change Order. The fixed price for all Special Project Change Orders will be based on the undiscounted hourly rates as detailed in Contract Attachment 10. The maximum cost for the Services shall in no instance exceed the product of the person hours required multiplied by the appropriate payment rate proposed for such work.

5. Contract Sections A.30.2 and A.30.3 are deleted in their entirety and replaced with the following:

A.30.2 Special Project Change Orders shall be paid as set forth in the applicable Special Project Change Order.

A.30.3 Reserved.

6. Contract Section C.1. is deleted in its entirety and replaced with the following:

C.1 Maximum Liability. In no event shall the maximum liability of the State under this Contract exceed Two Hundred Seventy-Two Million One Hundred Thirty Thousand Sixty-Five Dollars and Six Cents (\$272,130,065.06 ("Maximum Liability"). This Contract does not grant the Contractor any exclusive rights. The State does not guarantee that it will buy any minimum quantity of goods or services under this Contract. Subject to the terms and conditions of this Contract, the Contractor will only be paid for goods or services provided under this Contract after a purchase order is issued to Contractor by the State or as otherwise specified by this Contract.

7. Contract Section C.3.c is deleted in its entirety and replaced with the following:

c) The Contractor shall be compensated for Special Project Change Orders requested and performed pursuant to Contract Section A.28 without a formal amendment of this Contract based upon the fixed price for such Special Project Change Orders, calculated as described in Section A.28.5.6, PROVIDED THAT:

1) Compensation to the Contractor for Special Project Change Orders shall not exceed One Hundred Three Million Six Hundred Nine Thousand Eight Hundred Fourteen Dollars and Twenty-One Cents (\$103,609,814.21).

2) If, at any point during the Term, the aggregate charges for necessary Special Projects work would exceed the Special Projects Maximum Amount set forth in Section C.3.c.1, the State may amend this Contract to address the need. The State shall not be obligated to pay for, and the Contractor shall not be obligated to perform, Special Project work in excess of such maximum amount then in effect.

8. To correct an error in Contract Section numbering, the first Contract Section C.3. shall remain as Section C.3, but all subsequent sections are hereby renumbered accordingly in sequential order.

Required Approvals. The State is not bound by this Amendment until it is signed by the contract parties and approved by appropriate officials in accordance with applicable Tennessee laws and regulations (depending upon the specifics of this contract, said officials may include, but are not limited to, the Commissioner of Finance and Administration, the Commissioner of Human Resources, and the Comptroller of the Treasury).

Amendment Effective Date. The revisions set forth herein shall be effective once all required approvals are obtained. All other terms and conditions of this Contract not expressly amended herein shall remain in full force and effect.

IN WITNESS WHEREOF,

DELOITTE CONSULTING LLP:



SIGNATURE

DATE

Michael F. Connors, Principal

July 24, 2019

PRINTED NAME AND TITLE OF SIGNATORY (above)

DEPARTMENT OF FINANCE AND ADMINISTRATION,
DIVISION OF TENNCARE:



8/21/19

STUART C. MCWHORTER, COMMISSIONER

DATE



CONTRACT AMENDMENT COVER SHEET

Agency Tracking # 31865-00470	Edison ID 51758	Contract #	Amendment # 1		
Contractor Legal Entity Name Deloitte Consulting, LLP			Edison Vendor ID 0000135163		
Amendment Purpose & Effect(s) Extend Term and Increase Maximum Liability					
Amendment Changes Contract End Date: <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO		End Date: September 30, 2021			
TOTAL Contract Amount INCREASE or DECREASE per this Amendment (zero if N/A):			\$ 55,000,000.00		
Funding —					
FY	State	Federal	Interdepartmental	Other	TOTAL Contract Amount
2017	\$3,456,867.00	\$31,111,803.05			\$34,568,670.05
2018	\$7,276,273.30	\$48,993,687.74			\$56,269,961.04
2019	\$12,892,693.93	\$67,686,643.13			\$80,579,337.06
2020	\$2,275,798.74	\$7,566,043.72			\$9,841,842.46
2021	\$717,563.62	\$2,152,690.83			\$2,870,254.45
TOTAL:	\$26,619,196.59	\$157,510,868.47			\$184,130,065.06
Budget Officer Confirmation: There is a balance in the appropriation from which obligations hereunder are required to be paid that is not already encumbered to pay other obligations. 				<i>CPO USE</i>	
Speed Chart (optional)		Account Code (optional)			

**AMENDMENT #1
OF CONTRACT 51758
BETWEEN THE STATE OF TENNESSEE,
DEPARTMENT OF FINANCE AND ADMINISTRATION,
DIVISION OF HEALTH CARE FINANCE AND ADMINISTRATION
AND
DELOITTE CONSULTING LLP**

This Amendment is made and entered by and between the State of Tennessee, Department of Finance and Administration, Division of TennCare, hereinafter referred to as the "State" and Deloitte Consulting LLP, hereinafter referred to as the "Contractor." For good and valuable consideration, the sufficiency of which is hereby acknowledged, it is mutually understood and agreed by and between said, undersigned contracting parties that the subject contract is hereby amended as follows:

1. Contract section B. is deleted in its entirety and replaced with the following:
 - B.1 This Contract shall be effective for the period beginning on October 1, 2016 ("Effective Date") and ending on September 30, 2021 ("Term"). The State shall have no obligation for goods or services provided by the Contractor prior to the Effective Date.

2. Contract section C.1. is deleted in its entirety and replaced with the following:
 - C.1 **Maximum Liability** In no event shall the maximum liability of the State under this Contract exceed One Hundred Eighty Four Million One Hundred Thirty Thousand Sixty Five Dollars and Six Cents (\$184,130,065.06) ("Maximum Liability"). This Contract does not grant the Contractor any exclusive rights. The State does not guarantee that it will buy any minimum quantity of goods or services under this Contract. Subject to the terms and conditions of this Contract, the Contractor will only be paid for goods or services provided under this Contract after a purchase order is issued to Contractor by the State or as otherwise specified by this Contract.

Required Approvals. The State is not bound by this Amendment until it is signed by the contract parties and approved by appropriate officials in accordance with applicable Tennessee laws and regulations (depending upon the specifics of this contract, said officials may include, but are not limited to, the Commissioner of Finance and Administration, the Commissioner of Human Resources, and the Comptroller of the Treasury).

Amendment Effective Date. The revisions set forth herein shall be effective January 1, 2019. All other terms and conditions of this Contract not expressly amended herein shall remain in full force and effect.

IN WITNESS WHEREOF,


DELOITTE CONSULTING, LLP:



SIGNATURE January 14, 2019
DATE

Michael F. Connors, Principal

PRINTED NAME AND TITLE OF SIGNATORY (above)

**DEPARTMENT OF FINANCE AND ADMINISTRATION
DIVISION OF TENNCARE:**


LARRY B. MARTIN, COMMISSIONER 1/16/19
DATE



CONTRACT

(fee-for-goods or services contract with an individual, business, non-profit, or governmental entity of another state)

Begin Date October 1, 2016	End Date September 30, 2020	Agency Tracking # 31865-00470	Edison Record ID 51758
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Contractor Legal Entity Name Deloitte Consulting, LLP	Edison Vendor ID 0000135163
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Goods or Services Caption (one line only)
Systems Integration Services for Eligibility Modernization Project

Contractor <input checked="" type="checkbox"/> Contractor	CFDA # 93.778 Dept of Health & Human Services/Title XIX
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Funding —					
FY	State	Federal	Interdepartmental	Other	TOTAL Contract Amount
2017	\$3,456,867.00	\$31,111,803.05			\$34,568,670.05
2018	\$7,276,273.30	\$48,993,687.74			\$56,269,961.04
2019	\$4,249,721.59	\$21,329,615.48			\$25,579,337.07
2020	\$2,275,798.74	\$7,566,043.72			\$9,841,842.46
2021	\$717,563.61	\$2,152,690.83			\$2,870,254.44
TOTAL:	\$17,976,224.24	\$111,153,840.82			\$129,130,065.06

Contractor Ownership Characteristics:

Minority Business Enterprise (MBE): African American, Asian American, Hispanic American, Native American

Woman Business Enterprise (WBE)

Tennessee Service Disabled Veteran Enterprise (SDVBE)

Tennessee Small Business Enterprise (SBE): \$10,000,000.00 averaged over a three (3) year period or employs no more than ninety-nine (99) employees.


Other: Limited Liability Partnership

Selection Method & Process Summary (mark the correct response to confirm the associated summary)

Competitive Selection RFQ

Other

Budget Officer Confirmation: There is a balance in the appropriation from which obligations hereunder are required to be paid that is not already encumbered to pay other obligations.



Speed Chart (optional)	Account Code (optional)
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**CONTRACT
BETWEEN THE STATE OF TENNESSEE,
DEPARTMENT OF FINANCE AND ADMINISTRATION,
DIVISION OF HEALTH CARE FINANCE AND ADMINISTRATION
AND
DELOITTE CONSULTING LLP**

This Contract, by and between the State of Tennessee, Department of Finance and Administration, Division of Health Care Finance and Administration (HCFA), hereinafter referred to as "HCFA" or the "State", and the Contractor, Deloitte Consulting LLP, hereinafter referred to as the "Contractor", is for the provision of Systems Integration Services to support the State in completing the Eligibility Modernization Project, hereinafter referred to as "EMP," as further defined in the "SCOPE OF SERVICES." State and Contractor may be referred to individually as a "Party" or collectively as the "Parties" to this Contract.

The Contractor is a Limited Liability Partnership

Contractor Edison Registration ID # Number: 0000135163

Contractor Place of Incorporation or Organization: New York

A SCOPE OF SERVICES

- A.1 The Contractor shall provide all goods or services and deliverables as required, described, and detailed below and shall meet all service and delivery timelines as specified by this Contract.
- A.2 Nothing in this Contract shall be deemed to be a delegation to the Contractor of the State's non-delegable duties under the TennCare program administered by the single state agency, as designated by the State and the Centers for Medicare and Medicaid Services (CMS), pursuant to Title XIX of the Social Security Act (42 U.S.C § 1396 et seq.) and the Section 1115 research and demonstration waiver granted to the State and any successor programs, or the Federal Children's Health Insurance Program (CHIP), known in Tennessee as "CoverKids," administered by the State pursuant to Title XXI of the Social Security Act. Applicable Definitions and Abbreviations relative to this contract are located in Attachment 7.
- A.3 The descriptions of Contractor deliverables in this Contract do not include every possible duty, task, or intermediate deliverable necessary to achieve success on this Contract. The Contractor shall receive written approval by the State for deliverables requiring State approval to be effective. The Contractor understands and agrees that any perceived lack of detail in a specific area does not indicate that the Contractor will have no duties in that area. The Contractor shall fulfill the State's Contract goals and requirements in a cost-effective manner. This includes all intermediate steps, deliverables or processes reasonably necessary to achieve the desired outcome described in each Section of the Contract. Intermediate steps, processes or deliverables will be detailed in the Control Memorandum (CM), developed by the parties at the inception of each Gate Review of the Contract, using the CM process described in Section A.29 below.

Where any service or delivery timelines are specified as a number of days or other measure of time from the effective date (whether or not capitalized) or project start date or other term intended to reference the start of the project, the parties agree that such period of time shall be tracked from the Project Start Date, where the "Project Start Date" means the later of the Effective Date or the first Monday following receipt of all approvals and execution of this Contract.

- A.4 Tennessee Eligibility Determination System (TEDS or Solution) Overview



- A.4.1 The Contractor shall design, develop, implement, maintain and operate a rules-based Medicaid eligibility determination system that includes a:
 - A.4.1.1 Worker portal;
 - A.4.1.2 Member portal; and
 - A.4.1.3 Partner portal.
- A.4.2 The Solution shall have the ability to perform the following activities, including but not limited to:
 - A.4.2.1 Determining eligibility automatically and without worker intervention when all eligibility criteria have been satisfied according to the State's Medicaid policies and Verification Plan.
 - A.4.2.2 Receiving application data
 - A.4.2.3 Performing member matching
 - A.4.2.4 Verifying eligibility data with Federal and State data sources
 - A.4.2.5 Determining MAGI and non-MAGI Medicaid eligibility and redetermination of eligibility,
 - A.4.2.6 Terminating or denying eligibility
 - A.4.2.7 Sending and receiving account transfers with the Federal Facilitated Marketplace
 - A.4.2.8 Providing Managed Care Organization selection
 - A.4.2.9 Sending and reconciling all necessary eligibility and enrollment information with other systems such as MMIS and the FFM for the MEC check
 - A.4.2.10 Mailing or electronically mailing applicable notices and letters
 - A.4.2.11 Performing case maintenance activities and receiving complaints and requests for appeals.
- A.4.3 The Contractor shall design, develop, implement, maintain and operate an electronic content management system to scan and store eligibility documents.
- A.4.4 The Contractor shall demonstrate that the system is compliant with the CMS Seven Standards and Conditions guidelines as published in December 2015. The Contractor shall adhere to the CMS-defined critical success factors as documented in "EE CSF 2016-02-18".
- A.4.5 The Contractor shall demonstrate that the system is compliant with the CMS Eligibility and Enrollment Supplement for MITA 3.0.

A.5 Governance

- A.5.1 As part of the State's Medicaid Modernization Program (MMP), the State is implementing governance processes for IT-enabled transformation projects. The first iteration of the MMP Governance Framework was developed by the State's Technical Advisory Services



(TAS) Contractor and administered by the State's Strategic Program Management Office (SPMO) Contractor. It focuses on business and technical governance of the Eligibility Modernization Project (EMP). The Contractor shall be governed by the State's Governance Framework and participate in all Gate Reviews of this project where required by the State's Governance Framework as defined in the Program. The Contractor shall comply with the State's Governance Framework including:

- A.5.1.1 The Contractor shall fully participate in periodic oversight meetings and reviews with State personnel, the State's TAS, SPMO and Independent Validation and Verification (IV&V) contractors, and other internal and external stakeholders. Full participation includes, but is not limited to, making visible the status of Gate Review deliverables throughout the process, including in draft form.
- A.5.1.2 The Contractor shall coordinate with the SPMO in its role as governance administrator and the IV&V contractor in its independent review role to facilitate the successful oversight of the Eligibility Modernization Project.
- A.5.1.3 State Framework Deliverables. The Contractor shall comply with all applicable State and Federal policies and standards as well as all State Framework Deliverables. State Framework Deliverables include documents and plans created pursuant to the State's contract for Technical Advisory Services for integration into the MMP Governance Framework located at <http://www.tn.gov/assets/entities/hcfa/attachments/KPMG.pdf>. All applicable State Framework Deliverables are contained in Attachment 8, Framework Deliverables Table.
 - A.5.1.3.1 Current Framework Deliverables. The Contractor shall comply with all Current Framework Deliverables. Current Framework Deliverables are all approved documents and plans within the State's Governance Framework as of the Effective Date of this Contract. The Contractor acknowledges that current Framework Deliverables are subject to revision. If revised, the updated Current Framework Deliverable will be delivered by the State to Contractor. The State and Contractor shall work in good faith to resolve any recommendations from Contractor, with the State making final determinations. State shall then deliver the Framework Deliverable to the Contractor in a Control Memorandum as described in Section A.29.
 - A.5.1.3.2 Future Framework Deliverables. Future Framework Deliverables are certain Framework Deliverables, identified in Attachment 8, that are not scheduled to be finalized before the Effective Date of this Contract. The Contractor acknowledges that these Framework Deliverables are critical aspects of the State's information technology strategy and shall comply with all Future Framework Deliverables. Once final, Future Framework Deliverables will be delivered by the State to Contractor. The State and Contractor shall work in good faith to resolve any recommendations from Contractor, with the State making final determinations. The State shall then deliver the Framework Deliverable to Contractor in a Control Memorandum.

A change order will be used to implement Framework Deliverables that alter Contractor's scope, responsibilities, or Deliverables.

- A.5.1.4 The Contractor shall participate in governance training provided by the State.



- A.5.1.5 The Contractor shall cooperate with the State's internal technical review boards (the Technical Architecture Review Board (TARB) and the Technical Change Control Board (TCCB)) to facilitate the successful oversight of the Operations and Maintenance phase of this project.

- A.6 Release Plan and Project Roadmap
 - A.6.1 In building the Solution, Contractor shall comply with the requirements contained in this Contract, including but not limited to, those requirements contained in Contract Attachment 9 hereof, the Contractor's negotiated Response.

- A.7 Enterprise and Solution Architecture Alignment
 - A.7.1 The Contractor shall align all Solution designs with the State's target system architecture and with the State's Enterprise Architecture Business Operating Model (EA-BOM) Management Plan. In addition, the Contractor shall meet the following requirements:
 - A.7.1.1 The Contractor shall adhere to architecture design standards as specified in the EA-BOM Management Plan.
 - A.7.1.2 The architecture design artifacts prepared by the Contractor shall adhere to architecture principles as established by the HCFA TARB.
 - A.7.1.3 The Contractor shall, as necessary and at no additional cost to the State, resolve any non-compliance of the Solution with the State's design standards. Exceptions may only be granted by the State's TARB in writing on a case by case basis.
 - A.7.1.4 The Contractor shall maintain solution architecture artifacts and design models in an industry standard Computer-Aided Software Engineering Tool. This includes the ability to create new and maintain existing architecture artifacts. Contractor's design tool shall be interoperable with the State's design tool to facilitate import and export of enterprise and solution architecture artifacts between the State and the Contractor. The artifacts that must be maintained in a design tool include, but are not limited to, the models, matrices, and lists specified in the EA-BOM Management Plan.
 - A.7.1.5 The Contractor shall keep the State continually informed of to the status of architecture artifacts as required during the SDLC through such means as reports, web pages, a query tool, etc.

- A.8 Project Management
 - A.8.1 The Contractor shall develop a Project Management Plan (PMP), to be approved in writing by the State, upon start of work under this Contract. The PMP shall define the approach to managing delivery of Project Management Lifecycle (PMLC) Services on the EMP and shall be developed in alignment with industry standards in the Project Management Body of Knowledge (PMBOK) for program and project management, and the State's MMP PMP template.
 - A.8.1.1 The Contractor shall define Scope Management processes and procedures to ensure that all scope updates are escalated appropriately and addressed in a timely manner.



- A.8.1.2 The Contractor shall define Communication Management processes and procedures to ensure that all relevant information is escalated appropriately and addressed in a timely manner.
 - A.8.1.3 The Contractor shall define Risk and Issue Escalation processes and procedures to ensure that important risks and issues are escalated appropriately and resolved in a timely manner.
 - A.8.1.4 The Contractor shall define Schedule Management processes and procedures to ensure that the project remains on schedule.
 - A.8.1.5 The Contractor shall define Quality Management processes and procedures to ensure continuous improvement.
 - A.8.1.6 The Contractor shall define Configuration Management processes and procedures to ensure all project artifacts can be tracked and identified throughout the project lifecycle.
 - A.8.1.7 The Contractor shall define Performance Management processes and procedures to ensure that goals are consistently being met in an effective and efficient manner.
 - A.8.1.8 The Contractor shall define Human Resource Management processes and procedures to onboard resources, provide appropriate training and orientation to the TEDS processes.
 - A.8.1.9 The Contractor shall define Financial Management processes and procedures to ensure budget tracking and earned value management.
- A.8.2 The Contractor shall create a baselined Project Plan within the PMP that shall be used to track project tasks, deliverables, milestones, dependencies, and resources to ensure accurate project status reporting. The Contractor shall continuously update the Project Plan and provide the latest version to the State immediately upon request. The Contractor's Project Management Plan shall include tasks for the State and the State's Contractors as appropriate. In addition, Contractor shall develop and submit a Release Project Plan for every release. The Contractor's Project Plan for every release shall be approved in writing by the State. The Contractor's Project Plan milestones shall be integrated into the MMP Integrated Master Schedule (IMS) in coordination with the State's SPMO to provide a MMP-wide project schedule view.
- A.8.3 The Contractor shall adhere to the State's PMLC guidance. If issues, risks, or system defects are not addressed in a timely manner, or if system defects or errors persist or recur, the State reserves the right to require the Contractor to develop and execute a State approved Corrective Action Plan (CAP), as described in Section A.17.2.8. The State also reserves the right to mandate that the project management methodology be revised or that the processes and procedures necessary to meet any of the State required milestones or deliverables be altered, in order for completion of timely and quality project deliverables, and to eliminate or minimize negative affects to the EMP's success.
- A.8.4 The Contractor shall coordinate with the State and State Contractors, as defined as including the Strategic Program Management Office (SPMO), the Technical Advisory Services (TAS) team, and the Independent Verification and Validation (IV&V) team, as well as any other contractor to the State as deemed necessary to ensure the successful management of the Eligibility Modernization Project.



A.8.5 For purposes of clarification, wherever in this Contract the Contractor is obligated to ensure an event occurs or outcome is achieved that includes dependencies outside of Contractor's control (e.g., performance by other State contractors or agencies), the Contractor shall have satisfied its obligations if the Contractor worked in a collaborative and good faith manner and alerted the State to any impediments so that the State can take appropriate action.

A.9 Solution Infrastructure

A.9.1 The Contractor shall be responsible for developing and/or configuring the Solution to meet the requirements of this Contract. The State of Tennessee Strategic Technology Solutions (STS) group within the Department of Finance and Administration shall provide secure hosting facilities and services for the Solution. The Contractor shall comply with all STS processes (e.g. the Build Book process), procedures, and standards. The implementation for the Solution includes two (2) data centers in Tennessee. The South Data Center is the primary hosting location in Smyrna, TN and the North Data Center is the secondary hosting located in Nashville, TN. A more distant hosting site may be selected and procured by HCFA IS to align with CMS guidance concerning geographic separation for Integrated Eligibility application disaster recovery site selection. The primary host site is also known as the production site, while the secondary site is planned to be used as a disaster recovery site. The Contractor shall work with the State to determine the disaster recovery hosting option.

A.9.2 STS shall configure all of the network, server, and storage hardware at all State data centers up to the operating system level, under the direction of the Contractor and HCFA IS, to implement the Solution and supporting systems. The Contractor shall provide, in the timeframe defined by the project schedule, STS with the configuration specifications for the network, storage, virtual machines, hardware, and operating systems. The specifications include security hardening settings, under the direction of the Contractor and HCFA IS. STS provides patch management services for the operating system and underlying virtual hosting technology. The host hardware (e.g., servers), security devices (e.g., encryption devices, firewalls), routing devices (e.g., load balancers, switches), and communications link interfaces are provided and maintained by STS. This includes full rack configurations for all equipment; full rack uninterruptable power supplies, rack cooling, rack temperature and humidity sensors, and cable management. STS shall also provide connectivity within all State facilities and networks including the internet egress, excluding such technologies specific to TEDS. The Contractor shall validate and verify that all of specifications have been met as documented.

A.9.3 The Solution specific commercial off-the-shelf (COTS) software and applications shall be maintained by the Contractor for the duration of the Contract. All Operating System (OS), applications, and COTS software updates are coordinated between the State and all applicable State contractors via the Technical Change Control Board processes, as changes in one application may impact the Solution or other HCFA system operations. The COTS software versions and OS versions shall be maintained by the Contractor within one major version of the latest release unless explicitly waived in writing by the Technical Change Control Board.

A.9.4 The Contractor shall use state approved tools and methodologies for maintaining oversight and control of the infrastructure build process. The Contractor shall be responsible for ensuring that the construction of the system infrastructure conforms to the requirements and design specifications contained in this Contract.

A.9.5 The Contractor shall be responsible for providing all of the following infrastructure, as required for Print Output Management:

A.9.5.1 Infrastructure



- A.9.5.2 Hardware
 - A.9.5.3 Software
 - A.9.5.4 Security
 - A.9.5.5 Network
- A.10 System Development Lifecycle (SDLC)
- A.10.1 Gate Review
 - A.10.1.1 The Contractor shall be responsible for all materials and presentations associated with the Gate Reviews in the CMS Information Technology Enterprise Lifecycle (IT ELC) System Development Lifecycle and any mandates made by CMS relative to the System Development Lifecycle, including the requirements of the Medicaid Eligibility and Enrollment System Review Process (MEESRP). The parties shall use the Gate Reviews and the approved deliverables for the purposes of the CMS Milestone Reviews and associated MEESRP checklists.
 - A.10.1.2 The Contractor shall participate in both the State Gate Review and the MEESRP.
 - A.10.1.3 The Contractor shall produce all required deliverables associated with each Gate Review and shall meet CMS MEESRP submission requirements. As the passing of each State Gate Review and MEESRP Milestone Review, as defined in MEESRP, is of critical importance to continued federal funding and adherence to the anticipated implementation schedule, failure to pass a State Gate Review or Milestone Review shall be considered a material breach of this Contract. The State may initiate the Termination for Cause provisions located at Section D.6 in the event of such a Milestone Review failure.
 - A.10.1.4 The Contractor shall comply with the State's design reviews to ensure the technical fit of the design of the Eligibility Modernization Solution with Federal and State conditions and standards and that it is inter-operable with other Federal and State systems defined in the target system architecture for Eligibility Modernization.
 - A.10.1.5 The Contractor shall participate in consultation with the State, CMS, TAS, SPMO, IV&V and other State Contractors or State entities as required to prepare for Gate Reviews and CMS Milestone Reviews.
 - A.10.1.6 Any new requirements or changes to requirements introduced into the project at the time of Gate Review shall be added via a Change Order as described in Section A.28 and shall not serve to delay payment for successful unconditional pass of all requirements for which Contractor is responsible for that Gate Review.
 - A.10.2 Stakeholder Analysis and Management
 - A.10.2.1 The Contractor shall work directly with assigned project Organizational Change Management and Training (OCMT) Team Members for any identified OCMT, Stakeholder, or Communication needs, as required by the State to ensure adherence with State-approved OCMT methodology.



- A.10.2.2 The Contractor shall assist the OCMT Team in assessing the EMP to initially define and/or refine OCMT scope and overall approach as inputs for the development of any stakeholder engagement plans.
- A.10.2.3 The Contractor shall work with the OCMT Team to identify appropriate stakeholders and messaging for project-related communication and engagement needs.
- A.10.2.4 The Contractor shall adhere to the OCMT MMP Stakeholder Management Plan(s) and follow relationship/interaction mapping requirements when identifying and/or engaging stakeholders for the purpose of data and information collection.
- A.10.2.5 The Contractor shall coordinate and communicate stakeholder engagement needs and results to the designated OCMT Stakeholder Register Manager.
- A.10.2.6 The Contractor shall coordinate with the State Project Director in compliance with communication plan(s) on all identified communication needs, to ensure any communication needs are in alignment with, and/or added to, the approved project-specific communication(s) plan as defined by the project team.
- A.10.2.7 The Contractor shall provide access to key documentation as the State deems reasonable to support assessing organizational impact and other OCMT activities as needed.
- A.10.2.8 The Contractor shall provide the project plan and validate major milestones and timing, as requested to the state, to ensure alignment with Stakeholder and/or OCMT activities across the project lifecycle.
- A.10.2.9 The Contractor shall provide resources sufficient to support the following OCMT Approach activities, including but not limited to:
 - A.10.2.9.1 All the activities defined to support the various phases of the OCMT Approach (Analysis, Design, Development, Test, Implementation, O&M, and Evaluate) and/or Stakeholder Analysis and Management Plan, both documents being defined by the State.
 - A.10.2.9.2 Proactively identifying or assisting in the identification of areas of impact and the potential resolution areas of impact as they pertain to organizational design requirements and applicable stakeholder engagement plans.
 - A.10.2.9.3 Supporting the identification of key stakeholders.
 - A.10.2.9.4 Validating identified change impacts (both system and process related).
 - A.10.2.9.5 Providing subject matter experts in specific work areas, processes, applications, etc. to support awareness building sessions and/or other stakeholder engagement activities.
 - A.10.2.9.6 Providing subject matter expertise gained from implementations in other states on national topics such as MARS-E, 1095b issuance, user-centric self-service portal designs, account transfers/MEC check, CMS Gate Reviews and other FDSH hub services and operational activity.



A.10.2.10 Stakeholder involvement for the self-service portal should include beneficiaries to ensure user-centric design.

A.10.3 Business Analysis Management

A.10.3.1 The Contractor shall document its standards, methodologies, and tools for conducting business analysis within the Requirements Management Plan, and demonstrate the alignment to industry standards as defined by the International Institute of Business Analysis.

A.10.3.2 The Contractor shall identify the delivery schedule and frequency of requirement artifacts (such as, but not limited to, Business Requirements Document (BRD), System Design Document (SDD)).

A.10.3.3 The Contractor shall integrate its business analysis activities into the State Enterprise Architecture and enterprise governance processes.

A.10.3.4 The Contractor shall document its approach to ensure provision of qualified Business Analysts with appropriate Medicaid domain knowledge and Business Analyst experience.

A.10.4 Refine/Elaborate requirements

A.10.4.1 The Contractor shall identify the stakeholders necessary for participation in the business analysis and requirements gathering activities.

A.10.4.2 The Contractor shall review proposed requirements as documented by the State, identify gaps, identify necessary clarifications, and offer alternatives to support solution development.

A.10.4.3 The Contractor shall secure clarification from relevant business and technical Subject Matter Experts (SMEs) to resolve ambiguous or conflicting requirements.

A.10.4.4 The Contractor shall conduct requirements gathering and refinement sessions with appropriate State and State-designated business and technical stakeholders, following industry standards such as those articulated by the International Institute of Business Analysis and the Business Analysis Body of Knowledge (BABOK).

A.10.4.5 The Contractor shall document any refined requirements for State approval in the Requirements Traceability Matrix, while maintaining requirement version control and archiving.

A.10.4.6 The Contractor shall write any new or revised business requirements such that they are understandable to the business stakeholders and not technical in nature.

A.10.5 Support Design

A.10.5.1 The Contractor shall review the State Enterprise and Business Architecture to gain an understanding of the desired business processes for Medicaid eligibility determinations.

A.10.5.2 The Contractor shall provide a Business Case Document describing the analysis that was completed in Section A.10.4.2, and highlighting the benefits of moving forward with the Solution.



- A.10.5.3 The Contractor shall ensure that all aspects of the system are analyzed for the use of industry standard practices, focusing at a minimum on:
 - a) Meeting the requirements of this Contract in a safe and secure manner (including Access Management and threat vulnerability assessment);
 - b) Meeting the needs of external stakeholders (including, but not limited to, residents of Tennessee, Medicaid and CHIP applicants, State and Federal government agencies such as CMS, Internal Revenue Service, Social Security Administration, State of Tennessee Strategic Technical Services, State of Tennessee Department of Human Services, and other State-approved contractors);
 - c) Ensuring State-approved approach for Business Continuity/Disaster Recovery (BC/DR).

A.10.6 Support Change Requests

- A.10.6.1 The Contractor shall review Business Services Definitions issued by CMS and provide the State with a Solution impact analysis on requirements, business rules, and interfaces within seven (7) calendar days of receipt of change request.
- A.10.6.2 The Contractor shall perform impact analysis on change requests to identify impacts across business processes and business rules.
- A.10.6.3 The Contractor shall perform risk analysis on change requests to identify risks and potential mitigations associated with development and deployment of the change.
- A.10.6.4 The Contractor shall perform alternatives analysis for change requests, to support the Eligibility Modernization Project Steering Committee (Project Steering Committee) with relevant information concerning alternative approaches to addressing the business need underlying the request.
- A.10.6.5 The Contractor shall perform cost analysis for change requests as part of the Change Order process described in Section A.28. All change requests shall indicate implementation and full lifecycle costs for the proposed change.
- A.10.6.6 The Contractor shall work with State management to understand the impact of human resource costs as well as cross-project impacts associated with fulfilling the change request.
- A.10.6.7 The Contractor shall provide analysis to support timing decisions for deployment of change requests, in compliance with the State release management process.

A.10.7 Business Process Management (BPM)

- A.10.7.1 The Contractor shall develop, for State approval, a BPM Plan. The Contractor shall execute this plan. This plan shall include at a minimum:
 - A.10.7.1.1 The tools that the Contractor shall use for documenting and managing business processes.
 - A.10.7.1.2 The documentation standards that shall be used for business processes.



- A.10.7.1.3 The process by which business processes shall be evaluated, for both new and revised processes.
- A.10.7.1.4 The roles and responsibilities of the Contractor, the State, and other MMP Contractors in BPM for the project. This includes supporting the entire business process by defining, documenting, and proposing improvements to business process standards.
- A.10.7.2 The Contractor shall validate State future state business processes against the Solution and provide a gap and alternatives analysis.
- A.10.7.3 The Contractor shall ensure that the business processes, as documented, are in alignment with the State Business Architecture.
- A.10.7.4 The Contractor shall ensure that business processes are reviewed and approved by the State designated project stakeholders.
- A.10.7.5 The Contractor shall use industry-standard software in capturing the business processes end-to-end. Any such software shall at a minimum:
 - A.10.7.5.1 Capture all workflows, including workflows with human-to-human processes, human-to-system processes, and system-to-system processes.
 - A.10.7.5.2 Allow updates to be applied to workflows with minimal effort and allowing for the capture of the dynamic changes to the modified workflow and that demonstrates traceability between business processes and business requirements.
 - A.10.7.5.3 Provide process flow documentation, consistent with the standards outlined in Tennessee Business Solutions Methodology Business Process Description (found at <http://www.tn.gov/assets/entities/finance/attachments/TBSMBusinessProcessDescription.xlsx>) and the BABOK.
 - A.10.7.5.4 Maintain versions of business processes, beginning with a baseline or current version, and maintaining each version when updates are applied, including graphical representation of the same business processes.
 - A.10.7.5.5 Provide traceability of business processes to the Business Architecture and business rule(s) that apply to the documented process.
- A.10.7.6 The Contractor shall design a Solution that allows for execution of the business processes. Any such Solution shall, at a minimum:
 - A.10.7.6.1 Comply with and use, to the extent possible, technologies outlined in the Enterprise Architecture.
 - A.10.7.6.2 Comply with or include a Business Rules Engine (BRE) or Business Rules Management software for handling the business rules governing the processes.



- A.10.7.6.3 Comply with documented enterprise and Business Architecture. The Contractor shall secure State written approval, through the appropriate State governance body, for any variance from the State architectural standards.
 - A.10.7.6.4 The Contractor shall ensure that the implementation is compatible with the Enterprise Architecture, and is approved in writing by the State as being able to meet the technical and business requirements of this Contract. The Contractor agrees and understands using a custom implementation that is not natively compatible with the Enterprise Architecture requires a State-approved exception.
 - A.10.7.7 The Contractor shall document changes to the business processes that have been identified and approved by the State.
 - A.10.7.8 The Contractor shall ensure that the tool being used to manage business processes shall be able to identify and model the effects of the change to other business processes.
 - A.10.7.9 The Contractor shall work with the State to submit any proposed changes to a business process to the Project Steering Committee and other governance or review boards as designated by the Project Steering Committee.
 - A.10.7.10 The Contractor shall perform an impact analysis on any proposed changes to business processes. Such analysis shall include, at a minimum:
 - A.10.7.10.1 Cost implications of making the change
 - A.10.7.10.2 Security and privacy implications of the change
 - A.10.7.10.3 Identification of the impact of the change on related business processes
 - A.10.7.10.4 Identification of configuration changes needed based on the proposed change
 - A.10.7.10.5 Analysis of new business requirements against current requirements to ensure that any new requirements are not in conflict with current requirements
 - A.10.7.10.6 Identification of project risk implications associated with the proposed change
 - A.10.7.10.7 Identification of project assumptions and constraints associated with the proposed change.
 - A.10.7.11 The Contractor shall ensure that any proposed changes that may affect the Business or Enterprise Architecture shall be reviewed by the TARB for approval before implementation of the change.
 - A.10.7.12 The Contractor shall conduct an impact analysis, as needed, to support proposed or anticipated retirement of a business process or solution.
- A.10.8 Business Rules Management



A.10.8.1 The Contractor shall develop a Business Rules Management Plan to include and execute on the following activities:

- A.10.8.1.1 Identify an industry-recognized BRE or Business Rules Management System (BRMS) which the Contractor shall use to document business rules.
- A.10.8.1.2 Provide the State a written justification describing the preferred BRE or BRMS solution and the selection process used to compare the preferred solution with other industry-recognized solutions.
- A.10.8.1.3 Implement BRE or BRMS solution only after the State has given approval to use the preferred BRE or BRMS solution.
- A.10.8.1.4 Allow for execution of the business rules, as well as the ability for expert State business users to review and test the business rules.
- A.10.8.1.5 Ensure that the implemented BRE or BRMS is compliant with the Minimum Acceptable Risk Standards for Exchanges (MARS-E), and properly aligned with the project Security Plan.
- A.10.8.1.6 Define business rules documentation standards, subject to State approval, and consistent with CMS Seven Conditions and Standards.
- A.10.8.1.7 Identify responsibilities for Business Rules Management, including critical access and segregation of duties considerations.
- A.10.8.1.8 Review the BRD and obtain State approval for any changes made.
- A.10.8.1.9 Demonstrate to the State that the implementation of any new business rules have not resulted in any circular errors or broken cases elsewhere.
- A.10.8.1.10 Leverage applicable rules from other states for MAGI, non-MAGI, and CHIP.

A.10.8.2 Define Business Rules Format:

- A.10.8.2.1 The Contractor shall ensure that the business rules contain a unique identifier for each rule.
- A.10.8.2.2 The Contractor shall ensure that the business rules contain a description of the rule.
- A.10.8.2.3 The Contractor shall ensure that business rules capture any relationship between other business rules and business requirements.

A.10.8.3 Define Business Rules Standards:

- A.10.8.3.1 The Contractor shall separate business rules from core programming, as specified by the MITA Modularity Standard.
- A.10.8.3.2 The Contractor shall write business rules as a clear directive or statement specific to one topic.



- A.10.8.3.3 The Contractor shall write business rules that are understandable to the business owners and not technical in nature.
- A.10.8.3.4 The Contractor shall provide business rules in human-and machine-readable format.
- A.10.8.3.5 The Contractor shall engage appropriate State business Subject Matter Experts to assist the Contractor in writing the business rules.
- A.10.8.3.6 The Contractor shall write business rules that convey what shall happen or what can only happen if a certain condition is met.
- A.10.8.3.7 The Contractor shall provide a mechanism and a process to maintain business rules and regularly review for accuracy, updates, or retirement as necessary.
- A.10.8.3.8 The Contractor submit all business rules to the State for their written approval.

A.10.8.4 Implementing Business Rules:

- A.10.8.4.1 The Contractor shall, as needed, conduct requirements analysis and secure requirements approval from the State for proposed changes to business rules.
- A.10.8.4.2 The Contractor shall, as needed, conduct design definition and review sessions to support a proposed update to business rules, and shall secure State approval for the proposed change.
- A.10.8.4.3 The Contractor shall submit updates to business rules as regulatory, business, functional, security, technology, or other factors dictate and shall secure State approval for the proposed change.
- A.10.8.4.4 The Contractor shall be responsible for providing all required supporting information, including cost and impact analysis, relative to proposed business rules changes for presentation to the Project Steering Committee and any other State architecture or governance review bodies as designated by the Project Steering Committee.
- A.10.8.4.5 The Contractor shall update the Requirements Traceability Matrix as needed to reflect any approved changes to requirements associated with the business rules, including changes to downstream requirements.
- A.10.8.4.6 The Contractor shall implement changes to business rules only upon State approval of the change, while maintaining business rules version control and archiving.
- A.10.8.4.7 The Contractor shall ensure that the Business Rule configuration items (CI) are updated and maintained.

A.10.8.5 Traceability within the System Development Lifecycle:

- A.10.8.5.1 The Contractor shall ensure bi-directional traceability between rule-related requirements and the associated business rules.



- A.10.8.5.2 The Contractor shall ensure that business requirements are inclusive of all business rules.
- A.10.8.5.3 The Contractor shall ensure that business rules are assessed against functional and non-functional requirements, as well as any proposed technical solutions or implementation.
- A.10.8.5.4 The Contractor shall ensure that designs are inclusive of all business rules.
- A.10.8.5.5 The Contractor shall document acceptance criteria approved by the State for all business rules to support test execution.
- A.10.8.5.6 The Contractor shall provide a test plan that includes testing the implementation against the constraints dictated by the business rules.
- A.10.8.5.7 The Contractor shall have in place a process to identify and track post-implementation defects between the implemented Solution and business rules as part of the software problem resolution process.
- A.10.8.5.8 The State shall be responsible for notifying the Contractor of any changes to business rules that are an outcome of policy changes.
- A.10.8.5.9 The Contractor shall have in place a process in which any changes to the business rules are reviewed by the State before being updated in the BRE or BRMS.
- A.10.8.5.10 The Contractor shall be responsible, through the Stakeholder Management Process, in notifying key stakeholders when business rules need to change based on a Project Steering Committee approval to make the change.

A.10.9 Requirements Management

- A.10.9.1 The Contractor shall be responsible for producing and executing a Requirements Management Plan, subject to State approval, that follows the State framework standard. The Requirements Management Plan shall
 - A.10.9.1.1 Describe the project's methodology for requirements that meet the State's standard.
 - A.10.9.1.2 Identify and maintain a list of stakeholders necessary for participation in the requirements lifecycle, clearly documenting their roles in the process.
 - A.10.9.1.3 Describe the performance measures, processes, and methods that shall be used by the Contractor to monitor and enforce compliance with requirements while maintaining quality requirements management throughout the project lifecycle.
 - A.10.9.1.4 Provide a process for the disciplined management of requirements across the requirements lifecycle, from ideation through implementation and retirement.



A.10.9.1.5 Include a detailed standard operating procedure manual for the definition, maintenance and change process for requirements in the Contractor's requirements management tool.

A.10.9.2 Requirements Definition & Management

A.10.9.2.1 The Contractor shall incorporate State-defined requirements associated with the State's business operating model into the aggregate requirements documentation and requirements management tool.

A.10.9.2.2 The Contractor shall be responsible for managing the review and approval process for newly identified business or Solution requirements, or the iteration of State-defined requirements through to the end of the requirements lifecycle.

A.10.9.2.3 The Contractor shall be responsible for defining transition requirements in support of the designed Solution, as per the State standard, and subject to State approval.

A.10.9.2.4 The Contractor shall be responsible for completing the following tasks during business, solution or transition requirements definition and management:

- a) The Contractor shall conduct necessary requirements gathering activities to document all requirements and associated requirement types to meet the requirements under this Contract and achieve CMS compliance.
- b) The Contractor shall engage all necessary stakeholders, including the State, Strategic Technology Services (STS), and other State-designated entities, in requirements definition activities, to support completeness of solution and transition requirements.
- c) The Contractor shall validate requirements with relevant State personnel to validate that requirements are well-defined, understood, and documented.
- d) The Contractor shall document requirements in a manner consistent with the CMS Business Requirements Writer's Guide.
- e) The Contractor shall document all requirements in a requirements document that aligns to the CMS and State Requirements Document template.
- f) The Contractor shall ensure that requirements specifications have been developed for all hardware and software subsystems in a sufficient level of detail to ensure successful implementation.
- g) The Contractor shall ensure that that all maintenance requirements for the system are completely specified.
- h) The Contractor shall elicit and document performance requirements (e.g. timing, response time and throughput) to satisfy the requirements of this Contract.



- i) The Contractor shall describe and document all system interfaces precisely, by interface protocol and by function, including input/output control codes, data format, polarity, range, units, and frequency.
- j) The Contractor shall identify and document known constraints or limitations early in the requirements gathering process.
- k) The Contractor shall ensure that the requirements at a minimum:
 - 1) Are uniquely identified throughout their lifecycle
 - 2) Include system calculations, data manipulation and processing, user interface and interaction with the application, and other specific functionality showing how user requirements shall be satisfied.
 - 3) Describe the existing technical environment, systems, functions, and processes.
 - 4) Describe hardware/software requirements that will limit the design and/or use of COTS options. These may include laws, regulations, hardware limitations, interfaces, development environment, operational environment, criticality, safety, and/or security.
 - 5) Describe hardware requirements and any related processes. This shall include a detailed description of specific hardware requirements, associated to specific project functionality/deliverables, and shall include information such as type of hardware, brand name, specifications, size, and security, and other relevant characteristics.
 - 6) Describe software requirements and any related processes. This shall include a detailed description of specific software requirements associated to specific project functionality/deliverables, and shall include all relevant information, such as security standards, version numbering, functionality, data, interface requirements, and specifications.
 - 7) Describe performance requirements and any related processes, including a detailed description of specific performance requirements associated to specific project functionality/deliverables. This shall include information such as system capacity, cycle time, speed per transaction, test requirements, minimum defect counts, screen refresh rates, reliability, utilization and other criteria necessary to define performance and capacity.
 - 8) Describe all of the Non-functional Requirements that affect availability, including hours of operation, level of availability required, down-time impact, support availability, accuracy, and any other criteria necessary to define availability.



- 9) Describe all of the non-functional requirements that affect supportability and maintainability such as coding standards, naming conventions, maintenance access, and required utilities.
- 10) Describe the requirements for any user documentation and help systems, including context-based application support.
- 11) Describe all of the user interface requirements (e.g., user navigation, presentation of application and associated functionality, screen location of interface elements, data display and manipulation), system interfaces, and hardware and software requirements that affect interfaces, protocol management, scheduling, directory services, broadcasts, message types, error and buffer management, and security.
- 12) Summarize and make reference to the Privacy Impact Assessment, as defined in Section A.27, and its impact on security requirements and provide justifications for why a specific privacy item is needed.
- 13) Provide security categorization if available and describe all of the non-functional requirements that affect security such as security audits, cryptography, user data, system identification/authentication, resource utilization, and facility access times.
- 14) Describe the existing compliance environment as it affects project requirements, and the standards that solution development must follow. Include an overview of the compliance or standards requirements necessary to achieve the project's objectives. List all that are applicable to the project.
- 15) Include a section that applies to the systems that are required to be Section 508 and WCAG 2.0 AA compliant and describes how Section 508 of the Rehabilitation Act and WCAG 2.0 AA affects the system, citing the technical standards it shall meet.
 - i) The Contractor shall maintain all requirements under formal configuration control.
 - ii) The Contractor shall secure State approval of all baseline requirements.
 - iii) The Contractor shall make no changes to the requirement baseline except where the requirement change has been approved by the Project Steering Committee.
 - iv) The Contractor shall update project and test plans for any new requirements approved by the Project Steering Committee.
 - v) The Contractor shall document requirements to support traceability through design, build, and test to validate and verify that the system performs as intended and contains no unnecessary software elements.



vi) The Contractor shall provide a process for identifying, avoiding, and resolving conflicts or duplication of requirements and business rules.

vii) The Contractor shall identify testing or completion criteria for each requirement, subject to State review and approval.

A.10.9.3 Requirements Traceability & Requirements Management Tool

A.10.9.3.1 The Contractor shall provide an industry standard Requirements Management tool, Test Management tool, and Business Rules Management tool.

A.10.9.3.2 The Contractor shall be solely responsible for maintaining business, solution and transition requirements in an industry standard requirements management tool.

A.10.9.3.3 The Contractor's Requirements Management tool must be interoperable with industry standard requirements management tools, the Contractor's Test Management tool, and the Contractor's Business Rules Management tool.

A.10.9.3.4 The Contractor shall be able to demonstrate the traceability between requirements and solution design elements, business rules, data elements, architecture artifacts, and test cases as per the State's Requirements Management Plan standard, within the Contractor's toolsets. Traceability shall include the ability to trace business requirements to solution requirements, backward and forward traceability between solution requirements and other solution requirements, and solution requirements to transition requirements. Traceability shall also include solution requirement ordering to show dependencies between requirements.

A.10.9.3.5 The Contractor shall give the State unrestricted access to the requirements management tool throughout the project SDLC.

A.10.9.3.6 The Contractor shall ensure that individuals responsible for managing requirements are trained in the appropriate requirements management procedures and use of the project's requirement management tool.

A.10.9.3.7 The Contractor shall use its requirements management and test management tool to trace requirements to test cases and results.

A.10.9.3.8 The Contractor's requirements management tool at a minimum shall:

- a) Assign or allow for the assignment of a unique identifier to each requirement
- b) Collect the source of the business requirement
- c) Collect a title of the requirement
- d) Collect the detailed description of the requirement
- e) Collect the owner of the requirement



- f) Collect any assumptions applied to the business requirement
- g) Assign a date and user stamp for the requirement when created
- h) Assign or allow for the assignment of the business requirement type (e.g., functional, non-functional, technical.)
- i) Allow for reporting the current status of the business requirement in the lifecycle
- j) Allow for identifying the business process(es) to which the requirement applies
- k) Allow for the attachment or referencing of external documents related to the requirement
- l) Have the ability to track changes made to the requirement in a way that allows for generating a historical view of the requirement, capturing when and by whom the change was made
- m) Identify and demonstrate the relationship between requirements, functional or otherwise; business rules; and artifacts that directly affect the requirement (e.g. process flows)
- n) Allow for hierarchical creation and sorting of requirements
- o) Provide a reporting mechanism that allows requirement reports to be generated based on:
 - 1) requirement status
 - 2) requirement type
 - 3) the hierarchy to which they are assigned, or
 - 4) the business process/architectural feature to which they relate

A.10.10 Test Management

- A.10.10.1 The Contractor shall be responsible for performing or supporting, as applicable, any and all testing required for building and implementing the TEDS.
- A.10.10.2 The Contractor shall provide test cases and scenarios for use by the State during user acceptance testing. The State shall have the ability to create additional test cases, as necessary.
- A.10.10.3 The Contractor's test cases shall cover interface performance in support of the eligibility determination process.
- A.10.10.4 The Contractor shall create and execute a Test Management Plan for State approval, prior to any release or approved configuration change that defines the testing methodology, the types of tests to be performed during the lifecycle, testing schedule, and how the testing functions shall be performed.



- A.10.10.5 The Contractor shall ensure that the Test Management Plan is in compliance with the CMS Testing Framework and adheres to the appropriate Gate Reviews as prescribed in this Framework.
- A.10.10.6 The Contractor shall ensure that the Test Management Plan is in compliance with security standards as set by the CMS Testing Framework, CMS Information Security Standards, and Acceptable Risk Safeguards, and the security standards included in this Contract.
- A.10.10.7 The Contractor shall ensure that the Test Management Plan appropriately addresses compliance with Minimum Acceptable Risk Standards for Exchanges (MARS-E), Social Security Administration (SSA), and Federal Tax Information (FTI) security requirements.
- A.10.10.8 The Test Management Plan shall conform to the standards outlined in the HCFA Test Management Plan and shall outline the Contractor's approach, methodology, and associated documentation for defining:
 - A.10.10.8.1 The scope of test work planned, partitioned into logical modules based on functional or other characteristics that shall provide an appropriate level of clarity for understanding and monitoring testing progress.
 - A.10.10.8.2 The types of tests the Contractor shall use to test the release, which shall conform to the testing types designated by the CMS Testing Framework and the HCFA Test Management Plan.
 - A.10.10.8.3 The testing environments (hardware and software) required to support testing activities in a way that Testing and Development environments shall manage all data in compliance with State and Federal regulations and policies.
 - A.10.10.8.4 The strategy for addressing testing-related activities associated with Gate Reviews and providing State-approved test coverage, as applicable.
 - A.10.10.8.5 The strategy for use of State-approved testing tools that the Contractor shall use to perform all testing responsibilities, ensuring that such tools are available to complete full integration, security, performance, regression and stress testing in the appropriate environments.
 - A.10.10.8.6 The expected timeline for completing each test phase, including contingency plans (CP) if for any reason milestones become at risk for not being completed within the set timeline.
 - A.10.10.8.7 The testing sequence and frequency and the reporting recurrence for test results.
 - A.10.10.8.8 The assumptions, constraints, and risks involved with the testing activity, to include any mitigation plans, workarounds, or deferments that have been approved by the State and taken into consideration during testing.
 - A.10.10.8.9 The Contractor's responsibilities for authoring, administering, and executing any and all test cases.



- A.10.10.8.10 The key stakeholders and their roles for each of the testing phase, including but not limited to the Contractor resources, State's business and technical resources, and other State Contractors.
 - A.10.10.8.11 The strategy for retesting failed test cases to ensure early identification and remediation of potentially persistent project issues.
 - A.10.10.8.12 The strategy for communicating testing progress, status, and outcomes across each testing phase by module, highlighting variances in module characteristics that require modification to accurately communicate testing progress.
 - A.10.10.8.13 The strategy/process for determining test success criteria and reaching agreement with State on passing results for various test types.
 - A.10.10.8.14 The entry and exit criteria for each testing phase, including the appropriate Gate Reviews and success factors for each phase.
 - A.10.10.8.15 The testing documentation that shall be produced to support IV&V activities.
- A.10.10.9 The Contractor Shall ensure that the Test Management Plan, at a minimum, incorporates the following as needed and agreed upon by the State:
- A.10.10.9.1 Unit Testing
 - A.10.10.9.2 Smoke/Sanity Testing
 - A.10.10.9.3 Functional Testing
 - A.10.10.9.4 Regression Testing
 - A.10.10.9.5 Ad-hoc Testing
 - A.10.10.9.6 Exploratory Testing
 - A.10.10.9.7 Usability Testing
 - A.10.10.9.8 GUI Software Testing
 - A.10.10.9.9 GUI Navigation Testing
 - A.10.10.9.10 Accessibility Testing
 - A.10.10.9.11 Security Compliance Testing
 - A.10.10.9.12 Compatibility Testing
 - A.10.10.9.13 Boundary Testing
 - A.10.10.9.14 Negative Testing
 - A.10.10.9.15 Error Handling Testing
 - A.10.10.9.16 Alert/Monitoring Testing



- A.10.10.9.17 Capacity Testing
- A.10.10.9.18 Performance Testing
- A.10.10.9.19 Recovery Testing
- A.10.10.9.20 Reliability Testing
- A.10.10.9.21 End-to-End Testing – End-to-End Testing shall include scenarios-based test cases that cover the lifecycle of an application, from entry into the Solution, through Eligibility Determination noticing and appeals.
- A.10.10.9.22 Enterprise Testing
- A.10.10.9.23 User Acceptance Testing – The State shall have access to Contractor test cases during User acceptance testing.
- A.10.10.9.24 Operational Readiness Testing – This testing shall ensure that the operational readiness testing is appropriately comprehensive and inclusive of all elements of the State enterprise impacted by the TEDS Release deployment.
- A.10.10.9.25 Business Rules Testing
- A.10.10.9.26 Availability Testing
- A.10.10.9.27 Interface Testing
- A.10.10.9.28 Beta Testing
- A.10.10.9.29 Conversion Testing
- A.10.10.9.30 Component Integration Testing
- A.10.10.9.31 Quality Control Testing
- A.10.10.10 The Contractor shall review the Test Management Plan with the necessary stakeholders prior to beginning test activities and secure State approval of the Test Management Plan by the State designated testing lead prior to any tests being executed.
- A.10.10.11 The Contractor shall execute the Test Management Plan and deliver all test requirements.
- A.10.10.12 The Contractor shall conduct a review of the Test Management Plan with the State at the completion of each Release to assess its effectiveness and determine any necessary adjustments to the Test Management Plan, and shall make necessary approved changes to the Test Management Plan as identified through this review process.
- A.10.10.13 The Contractor shall support the State on program level testing of the information security requirements.



- A.10.10.14 The Contractor shall include appropriate static and dynamic application security testing approaches in the Test Management Plan to ensure required levels of application security.
- A.10.10.15 The Contractor shall provide the IV&V Contractor the necessary support to facilitate IV&V Attestation.
- A.10.10.16 The Contractor shall provide the IV&V Contractor the necessary support to validate and verify all testing activities throughout the System Development Lifecycle.
- A.10.10.17 The Contractor shall provide the State the necessary support to facilitate MARS-E self-attestation requirements.
- A.10.10.18 The Contractor shall coordinate with assessment teams to provide information and remediate findings for the Security Assessment Review.
- A.10.10.18.1 The Contractor shall coordinate with the State and other contractor's designated by the State to conduct a Security Control Assessment (SCA) both during the initial implementation and annually in subsequent M&O years.
- A.10.10.18.2 The Contractor shall plan and facilitate SCA-related activities including, but not limited to:
- a) Provide environments and user accesses
 - b) Provide documentation
 - c) Provide access to contractor personnel
- A.10.10.18.3 The Contractor shall take account the lead time on each of the assessment activities required by the SCA and CMS reviews in order to meet the project time objectives.
- A.10.10.19 Authoring Tests:
- A.10.10.19.1 The Contractor shall schedule Environment Readiness Review(s) (ERRs) to include necessary State designated personnel.
- A.10.10.19.2 The Contractor shall document all tests and testing activities in accordance with the Test Management Plan. Minimally every functional and non-functional requirement (including load, performance, capacity, and availability requirements) must be tested by a documented test case or cases, and each test case shall be State-approved and accompanied by the following information:
- a) The associated requirements
 - b) The environment in which the test is to be performed
 - c) The release in which the test case is performed
 - d) The test type



- e) The data and/or test harnesses to be used in executing tests
- f) Test designer, performer, reviewer, and approver roles, to support segregation of duties and assure performance of tasks by qualified personnel
- g) Expected test results
- h) The specific steps and sequences to be performed in completing the test

A.10.10.19.3 The Contractor shall ensure that test cases account for testing of all State required browsers and versions as well as accessibility considerations specified by Section 508 and WCAG 2.0 AA standards.

A.10.10.19.4 The Contractor shall update corresponding test cases impacted by code or requirement changes based on approved changes to solution requirements, as approved by the Project Steering Committee.

A.10.10.19.5 The Contractor shall review tests with appropriate stakeholders and shall secure approval from the State designated testing lead prior to executing the tests.

A.10.10.19.6 The Contractor shall provide system security documentation with appropriate State stakeholders to facilitate security testing.

A.10.10.20 Executing Tests:

A.10.10.20.1 The Contractor shall assign personnel to perform tests in alignment with the roles specified in the designated test plan(s).

A.10.10.20.2 The Contractor shall use current industry standard testing and defect tracking tools approved by State.

A.10.10.20.3 The Contractor shall use State approved automated testing tools for regression testing and as needed for other high frequency testing activities.

A.10.10.20.4 The Contractor shall work in conjunction with State and Strategic Technology Solutions (STS) to provide necessary environments to support all testing activities as approved and defined by State.

A.10.10.20.5 The Contractor shall ensure that the test performers have the necessary skills and appropriate access to perform the test(s) effectively.

A.10.10.20.6 The Contractor shall demonstrate and ensure that an State-approved number of staff are allocated to testing activities to efficiently deliver a quality product, maintain project schedule, and support its implementation approach.

A.10.10.20.7 The Contractor shall perform and document the peer review process for unit tests and test plans.

A.10.10.20.8 The Contractor shall document the test performer, reviewer, and approver for each test.



A.10.10.20.9 The Contractor shall record outcomes of the tests and re-test and provide evidence to demonstrate the complete execution of all State approved tests.

A.10.10.20.10 The Contractor shall document test results with the associated requirements in the Requirements Traceability Matrix.

A.10.10.20.11 The Contractor shall record any defects or errors as outlined in the State's Defect Management Process Software Problem Resolution Standards/Procedures Process.

A.10.10.20.12 The Contractor shall retest any State-failed and/or Contractor-failed tests.

A.10.10.20.13 The Contractor shall, in cases of recurring test failures, provide access to the related code for third party review upon request from State.

A.10.10.20.14 The Contractor shall re-execute all modified tests resulting from changes to solution requirements as approved by the Project Steering Committee as defined in the State's Program Governance Management Plan.

A.10.10.20.15 The Contractor shall provide personnel as requested by the State to participate in the Implementation Readiness Review(s) (IRRs).

A.10.10.21 Reporting Test Status and Results:

A.10.10.21.1 The Contractor shall publish the status of current and upcoming test activities that fall within the reporting timeline specified in the Test Management Plan.

A.10.10.21.2 The Contractor shall secure State approval for the frequency of test reporting.

A.10.10.21.3 The Contractor shall support State by providing ad hoc reporting for requests approved by the eligibility modernization Steering Committee.

A.10.10.21.4 The Contractor shall customize test reports based on the intended audience.

A.10.10.21.5 The Contractor shall secure State approval in defining test reporting metrics.

A.10.10.21.6 The Contractor shall publish test results to include, at a minimum:

- a) Test progress
- b) Test results (e.g. pass, fail, deferred, failure reason by category, failure resolution, test category by module, test category by function). Failure reasons include poorly written code, poorly written test scripts, environment, etc.
- c) Test results rates
- d) Retest results rates



- e) Trends of test results
- f) Evidence files

A.10.10.21.7 The Contractor shall provide additional analysis, as requested by State, to identify patterns in failed test cases and patterns of failures within the modules.

A.10.10.21.8 The Contractor shall provide technical documentation as well as test results for non-functional requirements to support user acceptance testing of the completed system requirements.

A.10.11 Interface/Integration Management

A.10.11.1 Plan Interface/Integration Management Approach:

A.10.11.1.1 The Contractor shall develop and execute a TEDS Interface/Integration Management Plan that conforms to the standards outlined in the HCFA Interface/Integration Management Plan and shall include but not be limited to:

- a) The approach to developing and managing internal and external interfaces.
- b) Technical tools that shall be used for extract, data transformation and loading and for resolving errors.
- c) Requirements that identify any conversion and Extract, Transform, and Load (ETL) process as needed.
- d) A description of how the Contractor's development standards shall be reconciled, to reflect use of an Enterprise Service Bus (ESB) and web services as wrappers to legacy systems. The Contractor shall produce example scenarios for integration reflecting their infrastructure components and toolset.
- e) Tasks, deliverables and resources necessary to complete interface development, testing, and implementation.
- f) Test Management Plan that identifies testing management and scheduling between interface partners and all State agencies.
- g) Automated monitoring and alerting mechanisms that shall address interface errors and provide automated escalation to all relevant stakeholders.
- h) All interfaces that need IV&V attestation including appropriate scheduling activities associated with the attestation activities. Description of how the solution development and test systems shall work with internal and external interfaces.
- i) Descriptions of the process for managing changes to the interfaces, both in the production and non-production environments.
- j) List of Solution interfaces, data format, frequency of updates and



expected data volume.

- k) Process for interfacing and collaborating with interface partners, including roles, responsibilities, deliverables, priority, and timelines.
- l) Process for ensuring that the development and test environments work with the internal and external non-production interfaces.
- m) Communication Management Plan to establish automated monitoring and alert procedures for contacting Key Personnel in the event of interface/integration interruptions.
- n) Communication Management Plan to establish automated monitoring and alert procedures for contacting Key Personnel in the event of the failed delivery of a scheduled interface file.

A.10.11.1.2 The Contractor shall identify risks in the development and maintenance of interfaces and devise risk mitigation strategies.

A.10.11.1.3 The Contractor shall ensure that integrations and interfaces are in compliance with all relevant security and privacy standards.

A.10.11.1.4 The Contractor shall ensure integrations and interfaces appropriately address compliance with Minimum Acceptable Risk Standards for Exchanges, Social Security Administration, and Federal Tax Information security requirements.

A.10.11.1.5 The Contractor shall manage connectivity and operate in terms of Solution availability.

A.10.11.2 Document Requirements and Design:

A.10.11.2.1 The Contractor shall confirm identification of all sub-systems or sub-system components, previously identified by the State and the Technical Advisory Services Contractor, that require interfacing.

A.10.11.2.2 The Contractor shall review and, as needed, identify the interface requirements that define at a minimum the scope of work, design, development, installation, integration, testing and commissioning of the sub-systems.

A.10.11.2.3 The Contractor shall work with the State to secure necessary agreements with third parties (including CMS, relevant State of Tennessee agencies, federal institutes and other interface partners) for interfaces and integrations.

A.10.11.2.4 The Contractor shall work in cooperation with the State and Interface partners to specify the information to be exchanged over the interface by documenting this in Interface Control Documents to provide precise technical definitions of interface data flows and protocols.



- A.10.11.2.5 The Contractor shall develop the Interface Control Document, based on the CMS Interface Control Document template, to document and track the necessary information required to effectively define the TEDS interfaces as well as any rules for communicating with them in order to give the development team guidance on architecture of the system to be developed.
- A.10.11.2.6 The Contractor shall validate all interface control documents with the State Security team.
- A.10.11.2.7 The Contractor shall specify and be managed to performance and availability criteria, subject to State approval, for each interface or integration including but not limited to budget, uptime requirements, outage coverage, maintainability, scalability, sustainability, portability, efficiency and usability.

A.10.11.3 Develop Interfaces and Integrations:

- A.10.11.3.1 The Contractor shall plan and develop interfaces and/or integrations to support, manage, and monitor the timely and accurate exchange of information between the TEDS and all other necessary systems, including but not limited to the Federal Data Services Hub (FDSH), State of Tennessee Department of Human Services, Strategic Technology Services (STS), Social Security Administration (SSA) and other federal and state external data sources as needed (see Contract Attachment 5).
 - a) The Contractor shall coordinate and collaborate with third-party vendors with regards to operational interfaces for existing systems.
 - b) The Contractor shall plan and develop interfaces and/or integrations for all newly developed systems.
- A.10.11.3.2 The Contractor shall manage and operate the interface connection between the TEDS and the FDSH.
- A.10.11.3.3 The Contractor shall provide for secure and real-time data exchanges during operation of the TEDS.
- A.10.11.3.4 The Contractor shall obtain approval by the State Information Security Steering Committee or its designated proxy on Interface Design Documents to ensure appropriate access to information when executing data exchanges.
- A.10.11.3.5 The Contractor shall coordinate integration efforts with Interface Partners and all State agencies.
- A.10.11.3.6 The Contractor shall provide control mechanisms for each integration, to ensure successful and complete exchange of all interface and integration data.
- A.10.11.3.7 The Contractor shall provide fail-over approaches to address high availability, prevent service interruptions, and ensure system availability due to maintenance or unanticipated events.

A.10.11.4 Test Interfaces and Integrations:



- A.10.11.4.1 The Contractor shall provide control mechanisms for each integration, to ensure successful, appropriate, and complete exchange of all specified data elements.
 - A.10.11.4.2 The Contractor shall establish an escalation plan, approved by the State, for the resolution of issues in the event that interface partners cannot come to an agreement.
 - A.10.11.4.3 As part of the Test Management Plan, the Contractor shall develop, manage, and monitor testing schedule and use it to coordinate with all Interface Partners.
 - A.10.11.4.4 The Contractor shall test all relevant elements of interfaces and interchanges in conjunction with HCFA IS and provide supporting documentation of successful test completion to the State and secure State sign-off, documenting completion of the integrations and interfaces to the specified Contract requirements. These tests shall demonstrate accuracy, completeness, timeliness, and performance of interfaces and interchanges.
 - A.10.11.4.5 The Contractor shall conduct End-to-End testing with the State's interface partners after completion of system testing, and define the Solution entry and exit criteria for this phase of testing with State approval.
 - A.10.11.4.6 The Contractor shall develop the necessary test cases and scenarios to validate and verify Solution interfaces function as expected by requirements. To this end, boundary value testing, negative testing, and white and black box testing approaches shall be incorporated into the test cases and scenarios, as well as communicated to the appropriate Interface partners, to ensure proper test coverage and collaboration,
 - A.10.11.4.7 The Contractor shall provide test data and test harnesses where appropriate to State IS.
 - A.10.11.4.8 The Contractor shall provide the IV&V Contractor the necessary support to facilitate IV&V Attestation.
- A.10.11.5 Deploy Interfaces and Integrations:
- A.10.11.5.1 The Contractor shall ensure completion/readiness of all designated interface and integration deployment risk mitigation plans.
 - A.10.11.5.2 The Contractor shall participate in pre-deployment Gate Reviews and provide documentation to ensure readiness of interfaces and integrations for deployment.
 - A.10.11.5.3 The Contractor shall deploy all approved interfaces and integrations into production, following an agreed upon change, configuration, deployment and release management procedures.
 - A.10.11.5.4 The Contractor shall ensure successful deployment of the interfaces and integrations through smoke test results or other processes as agreed by the State.



A.10.11.6 Operate Interfaces and Integrations:

- A.10.11.6.1 The Contractor shall establish automated monitoring and alert procedures for contacting Key Personnel in the event of interface/integration interruptions in real time, available twenty-four (24) hours per day, seven (7) days per week, and three hundred and sixty-five (365) days per year (24/7/365).
- A.10.11.6.2 The Contractor shall track, validate, and report completion of all specified data exchange activities.
- A.10.11.6.3 The Contractor shall track, report, and analyze all interface and integration exceptions and errors and shall work with interface and integration partner entities and the State's operations as needed to identify a resolution path and communication plan for the errors.
- A.10.11.6.4 The Contractor shall manage and adhere to the State's Software Problem Resolution process for investigating and resolving reported problems and potential defects.
- A.10.11.6.5 The Contractor shall monitor the need for interface and integration changes and shall follow the technical change control process to initiate approval for changes.
- A.10.11.6.6 The Contractor shall update interfaces and integrations, as approved through the HCFA Technical Change Control Board, to address new requirements and achieve continued or improved effectiveness in meeting existing requirements.
- A.10.11.6.7 The Contractor shall ensure that there is root-cause analysis performed for all unexpected service interruptions due to failed interfaces/integrations.
- A.10.11.6.8 The Contractor shall identify and develop recovery and any needed remediation procedures for known errors
- A.10.11.6.9 The Contractor shall identify and develop approved escalation procedures.
- A.10.11.6.10 The Contractor shall coordinate with HCFA and develop a BC/DR plan in compliance with State and Federal requirements supporting the State's ATC.

A.10.12 Integrated System Implementation Management

A.10.12.1 Develop Implementation and Deployment Plan:

- A.10.12.1.1 The Contractor shall develop and execute an Implementation and Deployment Plan consistent with the standards outlined in the CMS Implementation Plan Template, to define the activities, sequence, roles and responsibilities associated with moving the TEDS into production. Production cut-over shall accommodate a multi-phased approach. This plan shall include at a minimum:
 - a) Outline the deployment approach.



- b) Define the entry criteria required to commence deployment activities.
- c) Provide the names of the responsible organization(s), and titles and telephone numbers of the staff who serve as points of contact for the deployment. These points of contact shall include the Contractor Project Manager and Technical Lead and Key Personnel, the State technical and business owners, the State key resources, as well as Other State Contractors and representatives from other entities such as STS, CMS, and State of Tennessee Department of Human Services.
- d) Define the timeline and schedule of deployment activities.
- e) Document deployment risks and provide detailed risk mitigation plans.

A.10.12.2 Develop Roll Back Plan

A.10.12.2.1 Define and execute a Roll Back Plan for the State's approval, to provide a contingency option in case of deployment complications or failure, to include at a minimum:

- a) Criteria required for a roll back to occur
- b) Defined sequence of events prior to and during execution of a CP
- c) Communication matrix including stakeholders to contact in the event a roll-back or CP must occur
- d) Escalation process

A.10.12.3 Document criteria for implementing the system in the production environment and necessary documentation required to proceed with the implementation process.

A.10.12.4 The Contractor shall develop and execute a System Maintenance, Support, and System Transition Plan.

A.10.12.4.1 The Contractor shall document the entry and exit criteria for transition activities, as approved by the State, to commence and complete transition to operations.

A.10.12.4.2 The Contractor shall describe the Contractor's approach for supporting a multi-phased release of functionality to provide the State value as early as possible during the project timeframe.

A.10.12.4.3 The Contractor shall document the Contractor's approach, resources, and organizational structure to support efficient Operations and Maintenance activities including approved workarounds, enhancements and defect fixes for software CIs included in the production release while simultaneously supporting major software CIs in development for subsequent releases.



- A.10.12.4.4 The Contractor shall document the Contractor's approach, resources, and organizational structure to support efficient development of software CIs for future functionality releases without compromising Operations and Maintenance activities for software CIs in production.
- A.10.12.4.5 The Contractor shall describe the approach for issue reporting and resolution of issues identified during the post go-live stabilization period prior to the post implementation review.
- A.10.12.4.6 The Contractor shall document exit criteria, including service level agreements and applicable performance standards that shall be used to define a stable production environment, as well as the required duration for stable performance to ensure completion of the stabilization period. Exit criteria shall be contingent on State approval.
- A.10.12.4.7 The Contractor shall document assumptions, constraints, dependencies, risks and issues applicable to the transition to operations.
- A.10.12.4.8 The Contractor shall identify risk mitigation plans and owners for transition activities.
- A.10.12.4.9 The Contractor shall develop and execute a Cut-Over Plan as described in Section A.15.1 that provides continuity of service in Medicaid and CHIP for the State of Tennessee.
- A.10.12.4.10 The Contractor shall develop a plan to manage the activities and issues related to the transition from a determination to an assessment state.
- A.10.12.4.11 The Contractor shall prepare CMS required change control documentation that applies to significant changes in compliance with CMS change management process.

A.10.12.5 Prepare for Implementation

- A.10.12.5.1 The Contractor shall provide information as requested by the IV&V Contractor to ensure that the system is fully compliant with functional and non-functional requirements, configuration management requirements, and service level agreements.
- A.10.12.5.2 The Contractor shall complete implementation preparation activities that shall be used to drive a 'Go/No-Go' decision, including at minimum:
 - a) Completion of a holistic Operational Readiness Assessment that shall outline critical system and business components, and each individual/business unit required to provide sign-off
 - b) Demonstrated completion of entry criteria for the start of implementation activities, as defined in the Implementation and Deployment Plan, with sign-off from the State.
 - c) Provision of implementation checklists, for final approval by the State, to support accurate completion of all implementation activities.



A.10.12.5.3 The Contractor shall request a 'Go/No-Go' decision from the State and shall receive a 'Go' decision prior to entering into implementation activities.

A.10.12.5.4 The Contractor shall plan and execute an appropriate communication strategy for all implementation affected stakeholders in cooperation with the State's OCMT personnel and Strategic Program Management Office personnel.

A.10.12.5.5 The Contractor shall support training activities in conjunction with the State and other state contractors.

A.10.12.6 Execute Implementation and Deployment Plan:

A.10.12.6.1 The Contractor shall follow the implementation documentation, checklists, and tools developed in the Plan Implementation activity to support successful completion of a system implementation.

A.10.12.6.2 The Contractor shall complete implementation execution activities once a 'Go/No-Go' decision has been reached, including at minimum:

- a) Deployment activities to occur upon receiving State approval for implementation
- b) Overall sequence and site-specific implementation specifications
- c) Manage coordination activities with Strategic Technology Solutions (STS) and all interface partners.
- d) Management of Operations and Maintenance resources
- e) As needed, execute CPs as defined in the Implementation and Deployment Plan activity.

A.10.12.6.3 The Contractor shall provide Release Notes that outline the overall implementation process.

A.10.12.6.4 The Contractor shall convert data from existing data sources associated with the specific release, and perform substantial initial data loads from legacy operational systems.

A.10.12.7 Execute Transition Plan:

A.10.12.7.1 The Contractor shall provide the appropriate level of resources and organizational structure to support efficient Operations and Maintenance activities including bug fixes and enhancements for software CIs included in production release while not compromising productivity for major software CIs in development.

A.10.12.7.2 The Contractor shall ensure that Operations and Maintenance staff is trained, onsite, ready and capable of providing Operations and Maintenance services four (4) weeks prior to go-live.



- A.10.12.7.3 The Contractor shall provide an agreed to quantity of personnel to the Operations and Maintenance production control that shall include at a minimum Configuration/Release Manager, Continuous Improvement Process (CIP), Problem/Incident Manager, and a Production Control/Operations Manager.
- A.10.12.7.4 The Contractor shall provide the appropriate level of resources and organizational structure to support efficient development of software CIs for future functionality releases while not compromising O&M activities for software CIs in production.
- A.10.12.7.5 The Contractor shall publish risk and issue reporting and resolution.
- A.10.12.7.6 The Contractor shall identify and execute resolution plans, subject to State approval, for any issues identified during the post go-live warranty period prior to the post implementation review.
- A.10.12.7.7 The Contractor shall ensure satisfactory completion of transition exit criteria as defined in the State's Implementation and Deployment Plan and performance levels as identified in relevant service level agreements.
- A.10.12.7.8 The Contractor shall complete full fail-over testing with all system monitoring activities in place.

A.10.13 Post Implementation Evaluation

A.10.13.1 Support evaluation planning:

- A.10.13.1.1 The Contractor shall provide information to indicate availability and schedule for providing data to support the evaluation.
- A.10.13.1.2 The Contractor shall provide prototypes of data to confirm fit and format of data to support the post implementation evaluation.

A.10.13.2 Provide information

- A.10.13.2.1 The Contractor shall provide data, as specified and in a format approved by the State, to document Solution performance, and supports user/customer and performance assessment activities.
- A.10.13.2.2 Provide required deliverables as outlined in the post-implementation review Gate Review.

A.10.13.3 Provide recommendations

- A.10.13.3.1 The Contractor shall document lessons learned.
- A.10.13.3.2 The Contractor shall provide the State with documentation of lessons learned, as compiled through the lifecycle and in the Post-Implementation Evaluation, to support improved project performance on future Solution Releases and, where applicable, other MMP projects, to include topics such as:

- a) Best practice identification



- b) Issue root causes
- c) Risk and issue mitigation
- d) Performance improvement opportunities

A.10.13.3.3 The Contractor shall provide recommendations for process improvement to the system development lifecycle.

A.10.13.3.4 The Contractor shall participate in lessons learned activities for each release and provide constructive feedback, both positive and negative, with respect to their role in the Solution lifecycle.

A.10.13.3.5 The Contractor shall provide Solution recommendations, supported by analysis to include cost, risk, security, business, and organizational impacts, and that outline:

- a) Functions that may warrant refinement or replacement to support improved performance or architectural alignment
- b) Functions that may warrant enhancement, to derive increased value from the existing Solution investment
- c) New functions that can provide compelling value in addressing the State's business needs.

A.10.13.4 The Contractor shall engage in Annual Operational Assessments (AOAs) that reports on:

A.10.13.4.1 Performance of the Solution

A.10.13.4.2 User satisfaction with the Solution

A.10.13.4.3 Adaptability to changing business needs

A.10.13.4.4 New technologies that might improve the investment

A.10.13.5 Develop/Implement Enhancements

A.10.13.5.1 Upon determination by the State that enhancements (changes and modifications to the system during O&M, over and beyond original specifications and requirements) are warranted, the Contractor shall create an Enhancement Change Order for the State's approval. Enhancement Change Orders shall follow the Change Order process defined in Section A.28 below.

A.10.13.5.2 The Contractor and the State shall prioritize, document, implement, and test enhancements based on the HCFA Technical Change Control Process.

A.10.13.5.3 Enhancement activities are in addition to the O&M activities and shall be performed by separate Contractor staff.



A.10.13.5.4 The Contractor shall complete Service Design Packages describing changes to original design documents when enhancements impact technical designs.

A.10.13.6 Disposition Plan

A.10.13.6.1 The Contractor shall develop and execute a Disposition Plan in compliance with the CMS System Disposition Plan.

A.10.13.6.2 The Contractor shall include project closeout activities, data archiving strategies, hardware destruction procedures, and capacity reallocation in the Disposition Plan.

A.10.13.6.3 The Contractor shall review the Disposition Plan and obtain State approval.

A.11 Deliverable Submission Process

A.11.1 The Contractor shall follow the defined deliverable submission process for each deliverable included in the Table of Deliverables (Section A.27) below. The Contractor may submit additional steps which shall be documented in the PMP.

A.11.2 At a minimum, the Contractor shall submit a DED via the CM process for each deliverable at least one month prior to the first submission date unless a shorter time period prior to the first submission date is agreed to in writing, and request approval from the State.

A.11.3 The Contractor shall create deliverables as defined in each approved deliverable's DED. The DED shall govern the contents of the deliverable for each version of the deliverable, enumerate the State's expectations, and outline what is to be included in the deliverable by the Contractor.

A.11.4 The Contractor shall facilitate for each deliverable a minimum of one walkthrough with the State one week prior to the deliverable submission date, unless a shorter time period prior to the deliverable submission date is agreed to in writing.

A.11.5 The Contractor shall submit for each deliverable a first submission on the agreed submission date and allow the State to review and provide responses. The State shall, within the applicable Review Cycle set forth in Section A.11.10, or such other period of time as is mutually agreed to in writing, review and either approve the deliverable through a Notice of Approval, if it conforms with the requirements set forth in the applicable approved DED, or reject the deliverable through a Notice of Deficiencies. Deficiencies may be conceptual deficiencies or specific deficiencies, in each case identified with reference to the applicable portion of the DED. Conceptual deficiencies could be considered deficiencies of the entire deliverable.

A.11.6 After resolving all deficiencies identified by the State in a Notice of Deficiencies, the Contractor shall re-submit each deliverable for review by the State. The State will then review the deliverable and provide a notice to the Contractor in accordance with the process and within the timeframe described in Section A.11.5.

A.11.7 The approved deliverable will be relied upon by the Contractor to perform the Services. The Contractor shall resolve deficiencies identified by the State in a Notice of Deficiency prior to each deliverable's final submission.



A.11.8 The Contractor shall submit a final (as of the particular Gate Review) of each deliverable at least six (6) weeks prior to a State Gate Review and/or CMS Milestone Review, unless a shorter time period prior to a State Gate Review and/or CMS Milestone Review is directed by the State through a Control Memorandum.

A.11.9 Reserved.

A.11.10 The State and Contractor shall follow the review and response times assigned to each deliverable in the Table of Deliverables (Section A.27), as follows:

Table 1: Table of Deliverables

Deliverable Classification	Length of State Review Period for each Review Cycle	Length of Contractor Update Period after Receiving State Updates
Type A	Seven (7) days	Seven (7) days
Type B	Ten (10) days	Ten (10) days
Type C	Twenty (20) days	Twenty (20) days

A.12 System Requirements

A.12.1 Contractor shall ensure that the Solution meets the State's Functional and Non-Functional Requirements. In building the Solution, Contractor shall comply with those requirements, contained in this Contract.

A.12.2 The Contractor's Solution shall automate all of the defined functional requirements, unless otherwise stated within the respective requirement language approved by the State.

A.13 Environments

A.13.1 The Contractor shall build, support, document, and maintain the environments necessary to support all releases of the TEDS. This includes, but is not limited to, development, data conversion, testing, training, operational readiness, and production. Environments shall be housed and hosted by the State's STS.

A.13.2 The Contractor shall develop and document an environment strategy and approach that shall ensure State-approved environments to support all requirements defined within the Contract.

A.13.3 The environment strategy and approach shall support the need for two concurrent releases in development, in addition to regular maintenance releases. Therefore, a minimum of four (4) sets of development and testing environments shall be required.

A.13.4 The Contractor shall provide the environments below. Any deviation from the list of environments below shall be supported by the Contractor's environment strategy and approach and approved by the State. The Contractor may utilize additional application environments based on their development methodology and their understanding of the project roadmap.

A.13.4.1 Production Environment with Failover Clustering

A.13.4.2 Production Support Environment with Failover Clustering

A.13.4.3 Staging/Penetration Testing Environment with Failover Clustering



- A.13.4.4 Technical Sandbox Environment
 - A.13.4.5 Development Environments
 - A.13.4.5.1 Development Environment
 - A.13.4.5.2 Interface Development Environment
 - A.13.4.5.3 Unit/Automated Test Environment
 - A.13.4.5.4 Component Integration Test Environment
 - A.13.4.5.5 Conversion Development Environment
 - A.13.4.6 Test Environments
 - A.13.4.6.1 System Integration Test Environment
 - A.13.4.6.2 Functional Test Environment
 - A.13.4.6.3 Automated Regression Test Environment
 - A.13.4.6.4 Interface Test Environment
 - A.13.4.6.5 Performance/Stress Test Environment with Failover Clustering
 - A.13.4.6.6 Conversion Test Environment
 - A.13.4.6.7 User Acceptance Test Environment
 - A.13.4.6.8 Quality Control Testing Environment
 - A.13.4.6.9 Beta Test Environment
 - A.13.4.7 Training Environment
 - A.13.4.8 Disaster Recovery Environment with Failover Clustering
- A.14 Data Conversion
- A.14.1 The Contractor shall be responsible for planning, developing, testing, implementing, maintaining, and managing the secure data conversion process in all environments of the TEDS.
 - A.14.2 The Contractor shall identify the legacy systems and other data sources, as determined by the State, to be loaded into the Solution.
 - A.14.3 The Contractor shall be responsible for converting all data from all legacy eligibility determination systems that are necessary for the TEDS to support ongoing eligibility determinations, redeterminations, appeals, audits, and other processes as required by Federal and State regulations and policies.
 - A.14.4 The Contractor shall document and recommend selection criteria to the State to be used to identify the data to be extracted (by the State) from the source data.



- A.14.5 The Contractor shall define and document whether the data conversion process for a data source shall be an automated data conversion process or a manual data conversion process.
- A.14.6 The Contractor shall provide an explanation indicating the reason an automated conversion of a data source is not feasible or otherwise not recommended.
- A.14.7 The Contractor shall provide details on data collection tools and load processes for any data conversion processes that are identified as necessary.
- A.14.8 The Contractor shall provide logical and physical data models for the TEDS, including but not limited to, an Entity Relationship Diagram, Data Flow Diagram, and Data Dictionary.
- A.14.9 The Contractor shall provide a detailed data element mapping crosswalk between the data sources and the data target.
- A.14.10 The Contractor shall map source data elements to target data elements with transformation rules.
- A.14.11 The Contractor shall define data cleansing, reporting, and remediation processes and procedures for each data source, with organizational roles and responsibilities.
- A.14.12 The Contractor shall provide tools to be utilized for development and execution of the Extract, Transform, and Load (ETL) processes required to complete automated data conversion.
- A.14.13 The Contractor shall provide estimated data volumes and conversion runtimes by data source.
- A.14.14 The Contractor shall describe the QA processes to be executed and reports to be delivered to HCFA IS to verify the completeness, integrity, and readiness of the converted data for use in the Target system.
- A.14.15 The Contractor shall define reconciliation processes to track the ETL process for each row from source to target system.
- A.14.16 The Contractor shall define change control authorization and audit processes to authorize and track changes applied outside of the Solution to converted data in order to correct errors identified in the data during pre or post Go-Live of the Solution following the data conversion.
- A.14.17 The Contractor shall be responsible for the development of conversion software and performing manual data conversion. This activity shall include testing conversion programs and procedures and the preliminary conversion of all data.
- A.14.18 The Contractor shall be responsible, through facilitation with the State, for coordinating and collaborating with other necessary contractors to resolve data conversion issues.
- A.14.19 The Contractor shall be responsible for maintaining the data after go-live and ensure that maintenance of the source DBMS after Go-Live does not adversely impact the referential integrity of the data.
- A.14.20 The Contractor shall be responsible for maintaining an original copy of the source conversion data to be used during testing within a staging area in the data conversion database(s).



- A.14.21 The Contractor shall be responsible for reconciling and vetting data source (e.g., CHIP, MMIS, Accent data) mapping errors and allotting the appropriate timing to correct these errors prior to converting the data into the target system.
- A.14.22 The Contractor shall be required, at the direction of the State, to directly work with the State and other State contractors to analyze the data to be converted and develop extract specification and testing processes to ensure completeness of data conversion.
- A.14.23 The Contractor shall provide an Extract Control Document, as a part of the Data Conversion and Synchronization Plan defined in Section A.27, for each data source.
- A.14.24 The Contractor shall coordinate with the State and other State contractors to develop a Data Conversion and Synchronization Plan describing the approach, strategy, constraints, assumptions, and specifications for converting and migrating data from current legacy sources.
- A.14.25 The Contractor shall develop and deliver to State stakeholders, and execute a comprehensive Data Conversion and Synchronization Plan. The Data Conversion and Synchronization Plan shall be reviewed and baselined for each Release of the TEDS. The Data Conversion and Synchronization Plan shall include, but is not limited to, the following:
 - A.14.25.1 Identification of source and target systems/environments
 - A.14.25.2 Provision for a non-disruptive conversion (no or minimal down-time)
 - A.14.25.3 Description of any automated methods of conversion that require limited intervention by the State
 - A.14.25.4 Description and addressing of security measures that shall enforce referential integrity of all data
 - A.14.25.5 A mechanism for identifying and reporting conversion errors
 - A.14.25.6 A mechanism for error resolution
 - A.14.25.7 A method to reconcile data and differentiate between converted data and new system data
 - A.14.25.8 Provision of a capability to automatically reverse or undo a conversion
 - A.14.25.9 Identification of conversion validation and verification procedures and activities required for system testing.
 - A.14.25.10 Identification of the testing tools and scripts and the validation and verification of resulting test data, in preparation for data loading.
 - A.14.25.11 Provision of a mapping of the source to destination, considering intermediate processing requirements.
 - A.14.25.12 Data cleansing process, including but not limited to, usage of HCFA's 4-match or 7-match processes
 - A.14.25.13 Frequency of data conversion in all environments (such as Component Integration Testing /SIT, UAT, and Production)



- A.14.25.14 Sequencing of data loads
- A.14.25.15 Data Conversion Schedule
- A.14.25.16 Roles and Responsibilities
- A.14.25.17 Confirmation/denial of the need for parallel runs of the old and new systems during the conversion process or a one-time cut-over to the new system.
- A.14.25.18 Identification of criteria for a Go/No-Go decision.
- A.14.25.19 Assumptions
- A.14.25.20 Risks, including workarounds in the event that data conversion will be significantly delayed.
- A.14.25.21 List of tools needed to execute the conversion
- A.14.25.22 Strategy for data QA and control
- A.14.25.23 Strategy for populating data not contained in legacy systems/sources
- A.14.25.24 Approach for converting and migrating scanned documents/images from legacy systems
- A.14.26 The Contractor shall define and document how referential integrity of all the data will be maintained, both during and after the conversion process.
- A.14.27 The Contractor shall develop manual conversion procedures for loading data that cannot load to the Target new system environment using an automated conversion process. The Contractor shall be responsible for all activities required for Target system for manual data conversion.
- A.14.28 The Contractor shall produce a before-and-after conversion report to the State which shall include, but is not limited to, the following:
 - A.14.28.1 Conversion count
 - A.14.28.2 Conversion errors
 - A.14.28.3 Error rate
 - A.14.28.4 Data type conversion source type to native type failures
 - A.14.28.5 Validation and completeness for conversion
- A.14.29 The Contractor shall reconcile any errors produced from any data conversion run.
- A.14.30 The Contractor shall ensure that as a result of the data conversion process any eligible member maintains his/her Medicaid and CHIP healthcare coverage before and after the production data conversion.
- A.14.31 The Contractor shall ensure that converted data follows the protection and privacy protocols established by the SSP and security control outlined by the State and security



compliance regulations. Security measures shall be enforced regarding data sensitivity issues.

A.14.32 The Contractor shall identify the data cleansing, validation, and initiation requirements for the data conversion activities.

A.14.33 The Contractor shall provide to the State a list of data conversion tools and the scripts used to perform data conversion, intermediate data processing, and loading cleansed data into the destination or target data repository. This shall include both automated conversion program and manual data entry procedures.

A.14.34 The Contractor shall provide a Contingency Plan for all data conversion runs.

A.14.35 The Contractor shall be responsible for coordinating, addressing, and reconciling with the State any data QA and control issues prior to a given data conversion cycle. In addition, the Contractor shall be responsible for identifying types of data quality problems that may occur, including but not limited to the following considerations:

A.14.35.1 Invalid Content

A.14.35.2 Data Type redefinitions (e.g., alphas in dates, numbers in data field [including but not limited to Zip Codes and SSNs that have leading zeroes]).

A.14.35.3 Incomplete records (e.g., uninitialized data)

A.14.36 The Contractor shall be responsible for running a number, as approved by the State, of mock data conversions to achieve a one hundred percent (100%) pass rate. Each mock conversion shall simulate the real go-live process with live data and actual volumes.

A.14.36.1 The pass rate shall be determined by the accumulative average of all records correctly converted in every field, in every extract file, coming from the data sources. For a record to be correctly converted, the target record must either:

a) Match exactly how it is in the data source

b) Match in accordance with the detailed data element mapping crosswalk.

A.14.37 The Contractor shall not use default values in production for missing data (e.g., SSN, birth date) without written prior approval by the State.

A.14.38 The Contractor shall define a process to ensure that any changes to data model design due to change requests or additional functional requirements are promptly addressed in the conversion efforts and do not negatively impact the Go-Live time table or schedule.

A.15 Operational Readiness

A.15.1 Cut-Over

A.15.1.1 The contractor shall create a Cut-Over Plan that describes the Contractor's approach to the following Cut-Over activities:

a) Coordination of all cutover activity to include verification of final data transfers, initiation of all batch jobs, cutover of network and telecommunication services, and any and all other activity defined in the Contractors approach



- b) License and warranties for any and all hardware and software
- A.15.1.2 Cutover of the Service Desk service
- A.15.1.3 Validation of cutover success or execution of any required contingency activity in response to cutover failures
- A.15.2 The Contractor shall develop a State-approved Operational Readiness Checklist to determine whether the system is ready for go live. This checklist shall include, but not be limited to:
 - A.15.2.1 In conjunction with the State, the Contractor shall complete any remedial actions, all operator and user training for the support staff, and all privacy, security and accreditation activities.
 - A.15.2.2 The Contractor shall ensure that all components of the system function correctly and interface properly with other components.
 - A.15.2.3 The Contractor shall ensure that data conversion efforts have been assessed through System Integration Testing and User Acceptance Testing for completeness and accuracy.
 - A.15.2.4 The Contractor shall ensure that all interfaces including FDSH, state data sources and MMIS are connected to production sites, tested and verified against production, refreshed, and working per approved Functional Design Documentation and Technical Design Documentation.
 - A.15.2.4.1 The Contractor shall leverage existing MMIS interface definitions and transaction file specifications as documented in the MMIS Interface Specifications.
 - A.15.2.5 The Contractor shall ensure that the Solution can accept, store, associate and process data received through applications and interfaces.
 - A.15.2.6 The Contractor shall ensure that the Solution can log Solution errors and alerts, stakeholders are notified and appropriate resolution steps are taken within a timeframe approved by the State.
 - A.15.2.7 The Contractor shall ensure that the Solution can make correct eligibility determinations according to approved Functional Design Documentation and Technical Design Documentation.
 - A.15.2.8 The Contractor shall ensure that the Solution can generate correct and complete notices according to approved Functional Design Documentation and Technical Design Documentation.
 - A.15.2.9 The Contractor shall validate Backup and Recovery operations, and provide Backup and Recovery results to the State for review and approval.
 - A.15.2.10 The Contractor shall resolve all critical and high-priority defects prior to Go Live or, if necessary, provide the State with a written work around, downstream impacts, and plan for resolution for State review and approval.



- A.15.2.11 The Contractor shall develop and update the Operations & Maintenance Manual and job aids that describe how to use and maintain the Solution from a business function perspective.
- A.15.2.12 The Contractor shall identify key production cut-over risks and develop mitigation plans.
- A.15.2.13 The Contractor shall ensure that role-based access, security and privacy standards are in place as part of the Solution testing and implementation.
- A.15.2.14 The Contractor shall demonstrate the Solution's ability to accurately perform hourly, daily, weekly, monthly, quarterly, and annual operational cycles.
- A.15.2.15 The Contractor shall validate that the deployed Solution is in alignment with the approved configuration baseline, included within the System Operations Documentation defined in Section A.27, and in conformance with the State's Enterprise Architecture standards.
- A.15.2.16 The Contractor shall identify variances between the deployed Solution and approved configuration baseline and take corrective actions, as approved by the State.
- A.15.2.17 The Contractor shall identify resources for Help Desk Support, Service Desk Support and Implementation Support. The Contractor shall operate all tiers of the Help Desk and Service Desk during the Operations and Maintenance phase.
- A.15.2.18 In conjunction with the State, the Contractor shall ensure that the Support resources are staffed (in terms of both numbers and skill sets) to implement and execute operational readiness activities.
- A.15.2.19 The Contractor shall define the Help Desk structure and ensure Operational procedures are documented, approved by the State, and in place.
- A.15.2.20 The Contractor shall provide an emergency on-call list for critical level defects and procedures for notifying the State in the event of a critical production defect.
- A.15.2.21 The Contractor shall designate project technology resources to perform technical support tasks.
- A.15.2.22 The Contractor shall ensure that the User Satisfaction Measurement processes are in place.
 - A.15.2.22.1 The Contractor shall ensure that metrics to assess system impact of program and performance goals are in place.
 - a) The Contractor shall provide a Metrics Report to the State for review and approval.
- A.15.3 The Contractor shall be responsible for managing a process to identify, analyze, and resolve issues generated from operational readiness activities.
- A.15.4 The Contractor shall conduct, at a minimum, two (2) walkthroughs of the Operational Readiness Plan.
 - A.15.4.1 The first walkthrough shall occur prior to the Beta Test.



- A.15.4.2 The second walkthrough shall occur after the completion of the Beta Test.
- A.15.5 The Contractor shall start operational readiness activities only after the State has formally communicated completion in writing of User Acceptance Testing (UAT), unless otherwise directed by the State.
- A.16 Beta Test
 - A.16.1 The Contractor shall conduct a Beta Test during each implementation release.
 - A.16.2 The Contractor shall provide a dedicated Beta Test environment for the State to complete Beta Test activities. Beta Test shall run for a minimum of four (4) consecutive weeks, unless increased by the State, after successful exit of UAT and initial walkthrough of the Operational Readiness Checklist.
 - A.16.2.1 The Beta Test shall run concurrently with standard business operations and shall involve real-time processing of live application data.
 - A.16.3 During Beta Test, the Contractor shall confirm via reports that all daily, weekly, monthly, quarterly, and annual batch jobs and processes are operating as defined in the Functional Design Documentation and Technical Design Documentation.
 - A.16.4 During Beta Test, the Contractor shall confirm that all Interfaces are operating as defined in the Functional Design Documentation, Technical Design Documentation, and Interface Control Documentations.
 - A.16.5 During Beta Test, the Contractor shall confirm that Solution functionality, including but not limited to alert monitoring, incident management, non-functional operational readiness, and batch scheduling, are operating as defined in the Functional Design Documentation and Technical Design Documentation
 - A.16.6 The Contractor shall have the ability to utilize time-travel functionality during Beta Test.
 - A.16.7 The Contractor shall track and classify all Beta Test defects as critical, high, medium and low (as defined in the Table in Contract Attachment 2 – Liquidated Damages).
 - A.16.8 The Contractor shall resolve all critical and high defects prior to Go Live or, if necessary, provide the State with a written work around, downstream impacts, and plan for resolution for State review and approval.
 - A.16.9 The Contractor shall compare Beta Test eligibility results with legacy production eligibility results to assist in the identification of defects.
 - A.16.10. At the conclusion of Beta Test, the Contractor shall complete an analysis of the Beta Test and produce a Beta Test Results Report inclusive of beta test participant input, eligibility results, business process results, defects identified, defects resolved and lessons learned.
 - A.16.11. The Contractor shall implement a code-freeze, preventing additional updates to the software code related to the current release, upon completion of User Acceptance Testing and prior to the Beta Test period, or as required by the State.
- A.17 Operations and Maintenance



A.17.1 The Contractor shall build and maintain a Standard Operating Procedure (SOP) Manual which shall be made available for State Staff. The manual shall be indexed, with separate sections for each capability listed with Section A.17 or otherwise identified in this Contract or specified by the State, in writing, to the Contractor. The State may require an SOP to be written for specific system support functions. The Contractor shall provide any and all tools necessary to fulfil the obligations related to executing these capabilities.

A.17.1.1 The Contractor shall execute all processes described in the SOP Manual.

A.17.1.2 The Contractor shall, at a minimum, provide the reports listed in Contract Attachment 6.

A.17.2 Continuous Improvement Process

A.17.2.1 The Contractor shall be responsible for managing a mature CIP for all TEDS related services throughout the entire service lifecycle.

A.17.2.2 The CIP shall identify and address opportunities for improvement within each service to maximize the service performance, value, and functionality.

A.17.2.3 The Contractor shall be responsible for developing and implementing a CIP that aligns with industry standards (e.g., ITIL or Six Sigma) and is approved by State stakeholders.

A.17.2.4 The CIP shall be reviewed and managed at the senior level within the Contractor account team to ensure effectiveness.

A.17.2.5 Define areas for improvement

A.17.2.5.1 The Contractor shall perform formal maturity assessments and service reviews against each capability. Assessments shall be conducted at least once a quarter, in order to highlight areas of improvement or concern. The findings of the maturity assessments and the service reviews shall be published to the State. The effectiveness of the CIP shall be demonstrated through these assessments over time, and shall be presented to the State in an annual review.

A.17.2.5.2 The Contractor shall be pro-active in its approach, developing quarterly and annual improvement roadmaps detailing initiatives on a three year cycle and set target maturity levels to measure success of the CIP.

A.17.2.5.3 The Contractor shall provide specific key performance indicators (KPIs) to be included in the analysis and require pro-active activities as the data demonstrates the need, as requested by the State.

A.17.2.6 Gather and process the data

A.17.2.6.1 The Contractor shall be responsible for gathering and rationalizing the supporting data for each defined KPI, and making it consistent to identify any potential gaps in the data.

A.17.2.6.2 The Contractor shall develop reports and dashboards to support the CIP and make them available to the State on a monthly basis. Reports and dashboards and the underlying KPIs shall be continuously reviewed and modified in order to mature the CIP and produce the best results.



A.17.2.7 Analyze the Data

- A.17.2.7.1 The Contractor shall perform data analysis for all relevant services as defined within the CIP. Data analysis shall be performed at least once per quarter.
- A.17.2.7.2 The Contractor shall produce a data analysis report and shall publish the report to the various State stakeholders. The data analysis report shall present an accurate picture of the results of each service performance against the defined KPIs (referenced at each capability section), allowing the State's stakeholders to have in-depth knowledge of and access to this data analysis to enhance effective managerial decision making.

A.17.2.8 Implement Corrective Action Plans

- A.17.2.8.1 Upon notification from the State that the Solution fails to meet the requirements defined in this Contract, the Contractor shall correct any and all system or performance defects in accordance with Attachment 2.
- A.17.2.8.2 At the State's discretion, upon determination that the Contractor is not resolving such defects in accordance with Attachment 2, the State may, through a CM and Control Directive, issue a notice to the Contractor of its intention to impose a CAP, accompanied by a request that the Contractor develop and propose an appropriate CAP for review and approval by the State within the time period designated below. The State shall determine the severity of the error using the critical, high, and medium incident definitions as set forth in the Severity Table shown Contract Attachment 2 – Liquidated Damages.
- A.17.2.8.3 The State may, in its sole discretion, assess Liquidated Damages as set forth in the Liquidated Damages table located in Contract Attachment 2 – Liquidated Damages, including the enhanced CAP Liquidated Damages for more than three (3) subsequent occurrences of substantially the same issue. Each CAP shall, at a minimum, contain the following information:
- a) written documentation that includes acknowledgement of receipt of the State notice,
 - b) number of impacted members and cases and such other information as the State may request
 - c) a description of how the Contractor has addressed or will address the immediate problem,
 - d) an analysis of the root cause of the problem, and
 - e) a description of how the Contractor shall resolve the problem (or has resolved the problem) and shall prevent the problem from recurring.



- A.17.2.8.4 Upon acceptance of the CAP by the State, the Contractor shall be responsible for executing the CAP, and the CAP shall be incorporated by reference as part of this Contract. The State may request changes and/or additions to an approved CAP as deemed necessary to correct or resolve the problems that led to requesting a CAP. The Contractor shall continue to comply with an approved CAP until the State notifies the Contractor, in writing, that all problems outlined in the CAP have been satisfactorily resolved.
- A.17.2.8.5 Continued or repeated failure to prevent or forestall the same root cause error may result, in the State's sole discretion, in enhanced Liquidated Damages for Incident Resolution as set forth in Contract Attachment 2 – Liquidated Damages. In addition, such failure by the Contractor may be considered by the State to be a breach of the Contract.
- A.17.2.8.6 The Contractor shall be responsible for ensuring that all of its subcontractors or service providers comply with all approved CAPs.
- A.17.2.8.7 Notwithstanding the existence of a CAP or the CAP process, nothing in this Section relieves the Contractor of any obligations for incident resolution and/or emergency escalation processes.

A.17.3 Service Level Management

- A.17.3.1 The Contractor is responsible and accountable for ongoing monitoring and reporting on performance against any service levels requested by and agreed upon with State leadership. At a frequency established by the State, the Contractor shall perform service level reviews. Following the Contractor's service level review, the Contractor may recommend modifications to the State. Service level agreements may be modified solely at the State's discretion.

A.17.3.2 Monitor and Report on Service Levels

- A.17.3.2.1 The Contractor shall produce and manage a formal process for ongoing review and revision of the service levels between the State, Contractor and other State Contractors. The process shall be submitted to the State for approval within thirty (30) calendar days of contract start.
- A.17.3.2.2 The Contractor shall monitor performance against SLAs approved by the State. Reporting and monitoring of SLAs must be accurate and provide data that provides the State a complete view of the performance for each service. Reports must be provided to the State on an agreed upon regular schedule.

A.17.3.3 Perform Service Level Reviews:

- A.17.3.3.1 The Contractor shall perform periodic reviews, on a schedule defined by the State, of SLAs and performance against them to ensure the State is satisfied with the level of performance. The Contractor shall produce and provide the State with formal reports of findings.

A.17.4 Service Portfolio and Service Catalog Management

- A.17.4.1 The Contractor shall work with State stakeholders to provide the necessary inputs for TEDS related services into the State's Service Portfolio and Service Catalog.



A.17.4.2 The Contractor shall provide the relevant input to the State and other State Contractor service providers on an as-needed basis.

A.17.5 Technology Capacity and Performance Management

A.17.5.1 The Contractor shall be responsible and accountable for all activities required for identifying and managing appropriate system capacity for all TEDS related systems which include production and non-production environments (e.g., Development, Test, Training, etc.). This includes requirements identification, planning, management, reporting, and augmentation of system capacity and performance.

A.17.5.2 The Contractor shall be responsible for identifying performance and capacity drivers, understanding the impact to the program, and developing solutions to accommodate potential capacity and performance demands.

A.17.5.3 The Contractor shall follow the agreed upon schedule for developing models, utilizing tools, and developing solutions that avoid any disruption or degradation of service. These actions shall include development of a complete set of metrics (in alignment with the program's CIP) to measure and manage system drivers including business drivers (e.g., Population, Number of Applicants, regulatory changes, etc.), the infrastructure (e.g., central processing unit, memory, bandwidth, transfer rates, storage, etc.), and other system/code related challenges (e.g., SQL code, database configurations, optimal system tuning opportunities, etc.) The Contractor shall work with the State and Service Provider (STS) to ensure the appropriate system capacity and performance is delivered.

A.17.5.4 Monitor, Analyze, Tune and Implement

A.17.5.4.1 The Contractor shall draft requirements for planning, managing, and reporting system capacity in coordination with State business and IS leadership.

A.17.5.4.2 The Contractor shall develop a system Capacity Plan which details the requirements for planning, managing, and reporting system capacity.

A.17.5.4.3 The Contractor shall determine the performance drivers for performance management and their impacts on systems developed.

A.17.5.4.4 The Contractor shall obtain State approval relative to minimum levels of capacity the system must provide, based on consumer demand.

A.17.5.4.5 The Contractor shall meet the Contract requirements for a maximum response time, maximum processing time for each request, and minimum number of requests that can be processed in a given period of time.

A.17.5.4.6 The Contractor shall draft capacity expectations for each system component.

A.17.5.4.7 The Contractor shall monitor application and infrastructure performance 24/7/365 and perform ongoing load balancing and proactive management of systems to ensure sufficient capacity and application availability.



A.17.5.4.8 The Contractor shall leverage industry standard tools for the monitoring, analysis and tuning of capacity and performance, which may include new or emerging technologies. Tools and technologies shall be properly vetted and approved by the State. The Contractor shall provide direct State employee access to this tool.

A.17.5.5 Manage Capacity and Demand

A.17.5.5.1 The Contractor shall forecast future capacity needs based on industry standard practices to project future demand while enhancing technologies to meet demand.

A.17.5.5.2 The Contractor shall ensure technologies are configured per State-approval to meet the forecasted peak demands and establish thresholds which shall trigger appropriate corrective action.

A.17.5.5.3 The Contractor shall map applications and infrastructure to business processes and related demand, to measure capacity requests and consumption.

A.17.5.5.4 The Contractor shall include cost benefit analysis as a component of the solution recommendation to the State.

A.17.5.5.5 The Contractor shall record and track utilization of system resources to determine where capacity adjustments need to be made to support business processes as defined by the State. This shall be continually evaluated to ensure any system or environmental changes have not impacted capacity and performance.

A.17.5.5.6 The Contractor shall estimate the required number of resources needed to support change in existing service levels and newly identified services in coordination with State business and IS leadership.

A.17.5.5.7 The Contractor shall develop a System Capacity Plan that documents the current levels of resource utilization and service performance, and forecasts the future requirements for new TEDS infrastructure.

A.17.5.6 Model and Trend

A.17.5.6.1 The Contractor shall develop demand estimates for the TEDS in coordination with State Business and IS leadership and adjust/report on estimates in accordance with the CIP reporting schedule.

A.17.5.6.2 The Contractor shall develop a model for capacity demand based on available State data in coordination with State business and IS leadership.

A.17.5.6.3 The Contractor shall test capacity demand prototype models to ensure they surpass demand estimates.

A.17.5.6.4 The Contractor shall continuously update reusable sizing and estimating models to aid in capacity forecasting that utilize performance characteristics of applications based on historical data, projected load, locations, and other factors the Contractor deems appropriate.



A.17.5.7 Plan and Optimize

- A.17.5.7.1 The Contractor shall consult with the State on the service strategy plans for the TEDS.
- A.17.5.7.2 The Contractor shall forecast future requirements for new resources in coordination with State IS leadership to support IT services that underpin the business activities.
- A.17.5.7.3 The Contractor shall provide recommendations on resources required, costs, benefits, impacts, and other areas the Contractor or the State deem appropriate.

A.17.6 Availability Management

A.17.6.1 The Contractor shall be responsible and accountable for ensuring TEDS availability and reliability is compliant with an agreed upon set of requirements for vital business functions. Responsibilities include availability planning and design in accordance with STS, risk assessment and remediation, testing, monitoring, and reporting on availability performance.

A.17.6.2 All TEDS production systems and interfaces shall be designed for high availability (e.g. complete component redundancy, clustered solutions, data replication, and failover capabilities).

A.17.6.3 Plan and Design for Availability

- A.17.6.3.1 The Contractor shall draft detailed requirements for system availability in coordination with State business and IS leadership.
- A.17.6.3.2 The Contractor shall develop a Performance and Availability Management Plan that outlines performance and availability creation and management processes and, at a minimum, meets the requirements outlined in Contract Attachment 2.
- A.17.6.3.3 The Contractor shall meet the State's minimum target levels for availability, reliability, and maintainability of IT infrastructure components.

A.17.6.4 Perform Risk Assessment

A.17.6.4.1 The Contractor shall perform regular availability risk assessments to identify and quantify risks and countermeasures to protect the availability of IT systems.

A.17.6.5 Implement Countermeasures

A.17.6.5.1 The Contractor shall develop appropriate controls and countermeasures to improve the availability and resilience of TEDS services and underlying IT components.

A.17.6.6 Test Availability & Resilience Mechanisms

A.17.6.6.1 The Contractor shall perform periodic, as defined by the State, availability mechanism tests to ensure that availability and resiliency mechanisms designed to provision services are operating effectively.



A.17.6.6.2 The Contractor shall publish an Availability and Resilience test results report and ensure they are available to State Business and IS leadership.

A.17.6.7 Monitor, Measure, Analyze, & Report Availability

A.17.6.7.1 The Contractor shall leverage existing State and STS monitoring tools where available.

A.17.6.7.2 The Contractor shall develop availability reports to document and maintain all availability and performance analysis results conducted on the system.

A.17.6.7.3 The Contractor shall provide availability reports, and access to the underlying data utilized to create the reports, to the State for review during periodic service level review meetings.

A.17.6.7.4 The Contractor shall conduct ongoing availability and performance analysis on the system which includes monitoring the availability 24/7/365.

A.17.7 Business Continuity/Disaster Recovery

A.17.7.1 The Contractor shall be responsible and accountable for ensuring the continuity of services related to the TEDS in order to ensure the business can operate effectively in the event of a disaster. The Contractor is expected to follow a rigorous, process-oriented approach which includes: business impact analysis, development of service continuity plans, risk assessments, testing, reporting, and execution of service continuity plans in the event of a disaster.

A.17.7.1.1 The Contractor shall participate in any enterprise BC/DR testing initiated by the State or STS.

A.17.7.1.2 The Contractor shall develop a Cost Benefit Analysis Plan that includes total cost of ownership, cost-benefit analysis, and weigh those costs against the desired recovery point objective/recovery time objective, providing the Cost Benefit Analysis Plan to the State for approval.

A.17.7.1.3 The Contractor shall incorporate training and awareness for State personnel to support BC/DR efforts as part of its BC/DR Plan.

A.17.7.1.4 The Contractor shall support the relationship with STS in BC/DR endeavors ensuring efforts are in line with STS. STS provides recovery support for the infrastructure. The Contractor is responsible for application recovery.

A.17.7.2 Initiate BC/DR

A.17.7.2.1 The Contractor shall draft requirements for IT Service Continuity in coordination with State Business and IS leadership.

A.17.7.2.2 The Contractor shall develop a BC/DR Plan consistent with HCFA BC/DR Management Plan and CMS Contingency Planning Guidance.



- A.17.7.2.3 The Contractor shall develop BC/DR policies and procedures in coordination with State leadership.
- A.17.7.2.4 The Contractor shall draft BC/DR guidelines in compliances with State policies and expectations.
- A.17.7.2.5 The Contractor shall draft a Backup Implementation Plan that involves virtual machines and volume snapshots.
- A.17.7.2.6 The Contractor shall develop a multiple backup approach strategy; backups being performed using backup software and backups from storage systems using snapshot technologies.
- A.17.7.2.7 The Contractor shall develop, maintain, and implement complete Versioning control processes and procedures. The Contractor shall provide any/all tools necessary to fulfil the obligations of this contract.

A.17.7.3 Define BC/DR Requirements & Strategy

- A.17.7.3.1 The Contractor shall perform a Business Impact Analysis (BIA) to quantify the impact of a loss of service to the State.
- A.17.7.3.2 The Contractor shall perform Risk Assessments, aligned with CMS standards, to determine areas that can be mitigated by IT and to define levels of acceptable risks to the State.
- A.17.7.3.3 The Contractor shall develop BC/DR strategies in coordination with the State leadership to achieve optimum balance of risk reduction and BC/DR options based on the results of BIAs and Risk Assessments.
- A.17.7.3.4 The Contractor shall maintain an inventory of critical system applications and processes.
- A.17.7.3.5 The Contractor shall provide a plan to comply with CMS MARS-E Contingency Plan that includes but is not limited to hoteling of Key Personnel.

A.17.7.4 Implement BC/DR

- A.17.7.4.1 The Contractor shall ensure that all required services, facilities, and resources are delivered in an acceptable operational state and are 'fit for purpose' when accepted by the business.
- A.17.7.4.2 The Contractor shall perform service continuity procedures as defined in the BC/DR Plan in the event of a disaster.
- A.17.7.4.3 The Contractor shall participate in enterprise BC/DR testing initiated by the State and/ or STS.

A.17.7.5 Perform BC/DR Ongoing Operations

- A.17.7.5.1 The Contractor shall ensure that all Contractor staff are aware of the implication of business continuity and of service continuity and consider these as part of their normal working activities.



- A.17.7.5.2 The Contractor shall train all State and other State Contractor personnel involved in BC/DR procedures.
- A.17.7.5.3 The Contractor shall develop and establish a program of regular DR testing, at a minimum twice a year, to ensure critical components of the BC/DR strategy can be recovered within the desired Recovery Time Objective
- A.17.7.5.4 The Contractor shall ensure that all changes are assessed for potential impact on BC/DR plans.
- A.17.7.5.5 The Contractor shall develop Contractor Service Continuity and Disaster reports to document and maintain BC/DR test results on a quarterly basis.
- A.17.7.5.6 The Contractor shall provide Contractor Service Continuity and Disaster reports to the State for review during periodic service level review meetings.
- A.17.7.5.7 The Contractor shall develop a backup job and server audit.
- A.17.7.5.8 The Contractor shall develop and implement a testing program to include twice-yearly table-top tests, quarterly selected critical component testing, and yearly technical cut over tests.
- A.17.7.5.9 The Contractor's BC/DR Plan shall include provisions for letter and notice processing.

A.17.7.6 Invoke BC/DR

- A.17.7.6.1 The Contractor shall perform all BC/DR activities when required by the State.

A.17.8 Service Transition Planning and Support

- A.17.8.1 The Contractor shall be responsible and accountable to develop the System Maintenance, Support and System Transition Plan and oversee the ongoing execution of the following service transition processes: Change management, configuration management, release management, and patch management. The Contractor's System Maintenance, Support and System Transition Plan and execution strategy shall follow the standards set by the State and leverage existing processes and tools as appropriate. All changes shall be approved by the State through the transition process.
- A.17.8.2 The Contractor shall create a formalized service description and associated details when responding to business needs or proactively proposing new services.
- A.17.8.3 The Contractor shall, during the service transition lifecycle, maintain consistent and effective communications with all impacted stakeholders.
- A.17.8.4 The Contractor shall provide a clearly defined promote-to-production process that enforces a strictly defined methodology for movement from development to quality assurance (QA) and production.



A.17.8.5 The Contractor shall provide full support and execute and service transitions into production or other environments.

A.17.9 Technology Change Management

A.17.9.1 The Contractor shall be responsible and accountable for coordinating all Technology Change Management activities to ensure that IT changes are recorded and then evaluated, authorized, prioritized, planned, tested, implemented, documented, and reviewed in a controlled manner.

A.17.9.2 The Contractor shall define their Technology Change Management processes and procedures to ensure that all changes, including emergency, are escalated appropriately and addressed in a timely manner.

A.17.9.3 The Contractor shall provide industry standard automated tool for workflow tracking and approval.

A.17.9.4 The Contractor's Technology Change Management process shall integrate with the State Change Management process.

A.17.9.5 The Contractor shall work with the State change management staff to support change events identified as projects, as well as those identified as tasks (e.g. non projects).

A.17.9.6 The Contractor shall leverage a tool to enable the change management process, and utilize State tools where available and possible.

A.17.9.7 The Contractor shall provide select EMP personnel read access to change management tools and shall permit the ability to link changes to incidents/problems and vice versa. Ultimately, the State shall be responsible for approving all changes prior to promotion into the UAT and production environments.

A.17.9.8 Initiate Technology Change Request

A.17.9.8.1 The Contractor shall produce and enforce formal procedures to initiate and log requests for change (RFCs). RFCs shall provide data to allow the state to assess the change, including reason/cause, impacts, cost, schedule, and priority.

A.17.9.8.2 The Contractor shall provide and manage an automated Change Control Tool where changes shall be logged and managed.

A.17.9.8.3 The Contractor shall complete a Security Impact Analysis form and a narrative of all risks identified by the Change Request submitter with each change request.

A.17.9.9 Review, Assess and Authorize

A.17.9.9.1 The Contractor shall clearly categorize changes and publish the categorization to the State for approval. Change types include normal changes, standard changes, expedited changes, and emergency changes.



- A.17.9.9.2 The Contractor shall submit a documented RFC for emergency changes within twenty four (24) hours of the change being requested.
- A.17.9.9.3 The Contractor shall publish defined RFC naming and prioritization procedures, based on business priorities and impact determinations, to ensure the State clearly understands what the change is, its priority, and potential impacts.
- A.17.9.9.4 The Contractor shall produce and receive approval from the State, policies that categorize an emergency change. These changes require the appropriate executive level approvals prior to the change being implemented.
- A.17.9.9.5 The Contractor shall produce and abide by the results of an automated risk calculation that shall recommend if the change shall be approved or denied. This calculation shall be based on system risk multiplied by the magnitude of the impact.
- A.17.9.9.6 The Contractor shall provide appropriate prioritization that is aligned with the business needs/requirements.

A.17.9.10 Plan and Schedule

- A.17.9.10.1 The Contractor shall produce a forward looking change schedule that accounts for all dependencies that can affect the timing of a change (e.g. year-end close activities, State regulatory requirements, open enrollments, etc.). This schedule shall also articulate downstream impacts to the overall project schedule and identify any risks and potential CPs and workarounds as appropriate.
- A.17.9.10.2 The Contractor shall manage the RFC schedule with defined and published lead times, based on risk and impact. All change windows shall be agreed upon by the State. RFC schedules shall follow the same SDLC process in use for the project.
- A.17.9.10.3 The Contractor shall comply with all MARS-E requirements and CMS guidance documents related to Change Control.

A.17.9.11 Build and Test

- A.17.9.11.1 The Contractor shall provide test certification and other development/testing documents required by the SDLC process and requested by the HCFA Technical Change Control Board.
- A.17.9.11.2 The testing procedures for each change shall follow the process and standards established within the Test Management Plan.

A.17.9.12 Approve for Implementation

- A.17.9.12.1 The Contractor shall perform changes according to the agreed-upon and validated State change schedule.
- A.17.9.12.2 The Contractor shall participate in the State TCCB meetings and provide subject matter experts as needed to answer questions prior to formal approval process.



A.17.9.12.3 The Contractor shall update change records within the Change Control Tool with the appropriate status changes and details about the change and communicate updates to State stakeholders and partners.

A.17.9.12.4 The Contractor shall receive State TCCB approval for all changes prior to promotion into the Production environment.

A.17.9.13 Coordinate and Implement

A.17.9.13.1 The Contractor shall produce and publish to the State ongoing formal documentation of the activities and checkpoints required to coordinate and implement authorized change(s).

A.17.9.13.2 The Contractor shall provide implementation team members to be on call and available following any implemented changes to production systems.

A.17.9.13.3 The Contractor shall be able to back out any implemented changes that have a negative impact on the system and return the system and data to its natural state before the change was made.

A.17.9.13.4 The Contractor shall send notifications to the State's stakeholders pre- and post- change implementation.

A.17.9.13.5 The Contractor shall communicate and coordinate with the State's Configuration Manager to ensure that all CI changes resulting from a new change is appropriately documented in the Configuration Management Database (CMDB).

A.17.9.14 Review and Close

A.17.9.14.1 The Contractor shall perform a formal post-implementation change review to confirm that the change has met objectives, and that the State's relevant change stakeholders are satisfied with the results. This review shall be based on formal post-implementation change review process, which shall be included in the Contractor's Technology Change Management Plan, and approved by the State.

A.17.9.14.2 The Contractor shall document and publish to the State, lessons learned to provide an opportunity to improve the Technology Change Management process for future changes.

A.17.10 Configuration Management

A.17.10.1 The Contractor shall be responsible and accountable for the development and management of configuration activities in compliance with existing standards and non-functional architecture requirements.

A.17.10.2 Configuration Management Plan

A.17.10.2.1 The Contractor shall create and execute an approved Configuration Management Plan as part of the PMP. Activities include: configuration planning, management of CMDB, CI identification, performing configuration audits, and reporting on configuration performance.



A.17.10.2.2 The Contractor's Configuration Management Plan shall integrate with the State's Configuration Management Plan

A.17.10.2.3 The State shall purchase and the Contractor shall maintain a CMDB that is maintained per the standards defined in the State's Configuration Management Plan. The CMDB shall be maintained within a service management tool that integrates the CMDB with other service management capabilities such as Incident Management and Change Management.

A.17.10.3 Configuration Items

A.17.10.3.1 CIs shall be integrated to an enterprise CMDB.

A.17.10.3.2 CIs shall be defined by the Contractor in coordination with State business and IS leadership to ensure appropriate level of granularity.

A.17.10.3.3 Older versions of approved baseline configurations shall be maintained and made available for review and rollback if needed.

A.17.10.3.4 Records of configuration controlled changes to the information system shall be retained for at least three (3) years unless a longer period is mandated by the State.

A.17.10.4 Control Configuration

A.17.10.4.1 The Contractor configuration data model shall be consistent with the State's enterprise CMDB configuration data model.

A.17.10.4.2 The Contractor shall manage the lifecycle of each CI from identification through retirement.

A.17.10.5 Monitor Configuration

A.17.10.5.1 The Contractor shall develop standard reports in coordination with the State which provide views, at a minimum, to the definition of CIs, CI relationships, and status.

A.17.10.5.2 Updates to CIs shall be published monthly, unless otherwise stated in the State Configuration Management Plan.

A.17.10.6 Validate and Verify Configuration

A.17.10.6.1 The Contractor shall perform periodic audits of the CMDB to ensure accuracy and reliability of data as defined by the State.

A.17.10.6.2 The Contractor shall publish findings from CMDB audits in a report and share with the State.

A.17.10.6.3 The Contractor shall resolve findings from the CMDB audits within thirty (30) days.

A.17.11 Release and Deployment Management



- A.17.11.1 The Contractor shall be responsible and accountable for moving releases through the development and initial test environments, as well as the production environment, and coordinating with the State to plan and schedule releases based on the business priorities.
- A.17.11.2 The Contractor shall develop formal release and deployment management processes and procedures to effectively govern the release and deployment management process and ensure all parties are ready for the release.
- A.17.11.3 Review and Validate Release
 - A.17.11.3.1 The Contractor shall provide specifications for industry standard software to automate and manage the versioning/release control for each individual deployment. The Contractor shall provide any/all tools necessary to fulfil the obligations of this contract.
 - A.17.11.3.2 The Contractor shall develop and execute a Release and Deployment Management Plan that integrates with the State's Release and Deployment Management Plan.
 - A.17.11.3.3 The Contractor shall own and manage the entire Release and Deployment lifecycle in coordination with State stakeholders and other third party providers.
- A.17.11.4 Release Planning:
 - A.17.11.4.1 The Contractor shall develop and perform a formal review process to clearly define and approve the release plans with the State's relevant stakeholders.
 - A.17.11.4.2 The Contractor shall assign distinct resources to the deployment process, which are subject to State approval. Access to production and non-production environments shall be restricted based on the Access Control List.
 - A.17.11.4.3 The review process shall include project management planning, and configuration management reports on the status of the to-be-deployed-to environment.
- A.17.11.5 Build and Configure Release:
 - A.17.11.5.1 The Contractor shall perform unit tests on each independent component that was built and/or configured.
 - A.17.11.5.2 The Contractor shall produce formal documentation of all build notes for all releases including emergency releases. These notes shall be submitted to the State for approval prior to build.
- A.17.11.6 Test and Accept Release
 - A.17.11.6.1 The Contractor shall produce a formal test certificate as part of the release approval process. The Test certificate must follow the process and standards defined within the Test Management Plan.



A.17.11.6.2 The Contractor shall submit release documentation, including build notes, test results/certificate to the State for acceptance of the release.

A.17.11.7 Deployment Planning:

A.17.11.7.1 The Contractor shall develop and execute an Implementation and Deployment Plan for all new releases and publish to all relevant IT and Business stakeholders across the State for approval.

A.17.11.7.2 The Implementation and Deployment Plan shall take into consideration all dependencies and be closely aligned with the State's Change Management Plan.

A.17.11.7.3 The Contractor shall manage release to the Production environment, which do not conflict with primary business operating and service delivery hours.

A.17.11.7.4 The Contractor shall communicate to the State's team pre and post-notifications if the deployment involves downtime in the production environment.

A.17.11.7.5 The Contractor shall include risk and risk mitigation plans, including a back-out approach, for each Release deployment.

A.17.11.7.6 The Contractor shall develop and manage a formal and documented procedure to ensure the integrity of the release package and its constituent components throughout the transition activities. The procedure shall be published to the State.

A.17.11.7.7 The Contractor shall communicate each release to the applicable State IS and Business stakeholders following an approved communication plan which shall be detailed within the Release and Deployment Plan.

A.17.11.7.8 The Contractor shall maintain segregation of duties between development and release management teams.

A.17.11.8 Perform Operational Readiness:

A.17.11.8.1 The Contractor shall perform formal and documented Operational Readiness validation to ensure there is appropriate knowledge transfer to the users impacted by the new release and the Service Desk that shall be supporting the release. The Operational Readiness validation outputs shall be published to the State for review and approval.

A.17.11.9 Go-Live for Release

A.17.11.9.1 The Contractor shall manage deployment automation tools to increase efficiency, speed, and accuracy of the release.

A.17.11.9.2 The Contractor shall dedicate support resources, available at a capacity mutually agreed upon, to determine success of the deployment and resolve any resulting issues.



A.17.11.9.3 The Contractor shall ensure delivery of pre and post-implementation communication to the designated State personnel resources on all changes implemented into the production environment or any other environment identified by the State.

A.17.11.9.4 The Contractor shall own maintenance and repair responsibilities for any production issues related to a change implemented into the production environment.

A.17.11.10 Manage Warranty Support

A.17.11.10.1 The Contractor shall develop and manage a formal process to ensure that the new or changed service is capable of delivering the utility and warranty as agreed upon by the State. The process shall be published to the State and signed-off by the State's relevant stakeholders. Additional information can be found in Section A.26.

A.17.12 Asset Management

A.17.12.1 The Contractor shall be responsible and accountable for the identification, installation, maintenance, retirement, and financial tracking activities for the software and hardware assets supporting TEDS.

A.17.12.2 Request IT software/hardware asset

A.17.12.2.1 The Contractor shall be responsible for identifying required software and hardware for TEDS activities. The Contractor shall identify interdependencies between existing assets and associated costs

A.17.12.3 Procure IT software/hardware

A.17.12.3.1 The Contractor shall provide software/hardware specifications, based on approved Capacity Plan and System Configuration documentation, to support the State's procurement of IT assets.

A.17.12.3.2 The Contractor shall be responsible for development and maintenance of an Asset Library to enable accurate and up-to-date tracking and monitoring of procured IT software/hardware assets and related versions.

A.17.12.4 Deploy IT software/hardware assets

A.17.12.4.1 The Contractor shall develop and manage a formal software/hardware asset deployment process. The deployment process shall be published to the State for approval.

A.17.12.4.2 The Contractor shall be responsible for performing the test suite against the new assets, following the process and standards defined within the Test Management Plan.

A.17.12.5 Manage IT software/hardware assets

A.17.12.5.1 The Contractor shall be responsible for implementation and maintenance of all TEDS related software/hardware assets.



A.17.12.5.2 The Contractor shall be responsible for development and maintenance of an asset management tool(s) to provide the state a complete view of assets lifecycle, usage, regulatory compliance, costs, changes and viability.

A.17.12.5.3 The Contractor shall log and track assets in parallel with the CMDB.

A.17.12.5.4 The Contractor shall be prepared for, and participate in, periodic asset audits performed by the State or other State Contractors.

A.17.12.6 Decommission/Retire IT Software/Hardware Assets

A.17.12.6.1 The Contractor shall produce and publish to the State, a formal software/hardware assets replacement, decommission, and retirement process.

A.17.13 Event Management

A.17.13.1 The Contractor shall be responsible for coordinating with the State and STS on the detection, documentation, investigation and determination of corrective actions for events, including but not limited to bottlenecks, degradations delays, response times, anomalies, and any potential event, that can impact the system in a negative or unpredictable manner.

A.17.13.2 The Contractor shall monitor production 24/7/365.

A.17.13.3 The Contractor shall maintain 24/7/365 on-site production support team (Service Desk) to identify, monitor, and coordinate TEDS alerts, in cooperation with the State and other service providers.

A.17.13.4 The Contractor shall develop, or leverage existing tools where available and possible, event management capabilities and tools.

A.17.13.5 The Contractor shall develop, maintain, and manage a plan to monitor every operation that affects the TEDS (e.g. network, hardware, software, interfaces, services, data manipulation).

A.17.13.6 Engineer and Configure Event Management System

A.17.13.6.1 The Contractor shall produce and maintain formal definitions for commonly occurring events based on industry standards.

A.17.13.6.2 The Contractor shall produce, maintain, and enforce formal event handling procedures.

A.17.13.7 Detect and Log Event

A.17.13.7.1 The Contractor shall produce and enforce formal procedures for detection and logging of events.

A.17.13.7.2 The Contractor shall produce and maintain event logs in compliance with the State's policies and procedures.

A.17.13.8 Correlate and Filter Event



- A.17.13.8.1 The Contractor shall produce formal process and documentation determining filtering definitions, policies, and procedures. The documentation shall be published to the State for approval.
- A.17.13.8.2 The Contractor shall implement fully automated correlation engines for grouping of events. The correlation rules that drive the correlation engines shall be published to the State and continuously reviewed for improvement opportunities.
- A.17.13.8.3 The Contractor shall configure each triage tool to integrate with external service management tools.

A.17.13.9 Select Event Response

- A.17.13.9.1 The Contractor shall communicate all events to the approved State stakeholders and partners, within an approved timeframe based on severity of the event.

A.17.13.10 Review and Close Event

- A.17.13.10.1 The Contractor shall develop and manage a formal event review process. The process and the findings must be published to the State.
- A.17.13.10.2 The Contractor shall log corrective actions and close out event with State approval.

A.17.14 Incident/Problem Management

- A.17.14.1 The Contractor shall be responsible for maintaining a 24/7/365 on-site production support team (Service Desk) to coordinate incident identification, investigation, and diagnosis in cooperation with the State and other service providers.
 - A.17.14.1.1 The Contractor shall supply dedicated resources to perform Incident Management activities.
 - A.17.14.1.2 The Contractor shall manage and maintain a tool that enables State have complete access into the incident management process.
 - A.17.14.1.3 The Contractor shall develop, or leverage existing tools where available and possible, incident management capabilities and tools.

A.17.14.2 Interaction Handling

- A.17.14.2.1 The Contractor shall develop, execute, and manage an Incident Management Plan, which shall be approved by the State.
- A.17.14.2.2 The Contractor's Incident Management Plan shall integrate with existing State and other third party processes.
- A.17.14.2.3 The Contractor shall outline their monitoring/alerting procedures within the Incident Management Plan that addresses but is not limited to the following:
 - a) Alerting capability on any and all hardware, systems, applications, and access points



- b) Identifying errors in processing input files and/or output files. This alerting system shall capture errors in the interface application(s)
- c) Communication guidelines that include escalation procedures
- d) Root cause analysis with development of action plans and implementation of solution/workaround
- e) Process for resolving production issues

A.17.14.3 Record, Classify, Prioritize

- A.17.14.3.1 The Contractor shall be responsible for detecting, recording, classifying, and prioritizing incidents. Incident prioritization shall be approved by the State.
- A.17.14.3.2 The Contractor shall address the procedures and standards for handling problems within Incident Management Plan.

A.17.14.4 Investigation and Diagnosis

- A.17.14.4.1 The Contractor shall be responsible for investigating and diagnosing incidents. All procedures and findings shall be documented in an incident management tool and visible to the State.
- A.17.14.4.2 The Contractor shall perform root cause analysis for all incidents and communicate the findings to the State, the CIP Manager, and other State Contractors. Root cause analysis identifies those incidents that:
 - a) Could have been caught
 - b) Should have been caught
 - c) Would not have been caught, and
 - d) Provides a Mitigation Plan for incident.
- A.17.14.4.3 Security and privacy incidents shall be reported to State Privacy and Security Offices as soon as possible, but no more than twenty four (24) hours from awareness of the incident or sooner if overriding regulations apply.

A.17.14.5 Resolution & Recovery

- A.17.14.5.1 The Contractor shall be responsible for identifying and enacting resolutions to incidents. In cases where a permanent resolution is not currently available, a temporary work around must be provided by the Contractor.
- A.17.14.5.2 The Contractor shall be responsible for validating that the incident has been resolved.

A.17.14.6 Closure



A.17.14.6.1 The Contractor shall develop, manage, and adhere to incident closure procedures.

A.17.15 Request Management

A.17.15.1 Initiate Request

A.17.15.1.1 The Contractor shall be responsible for identifying needs to support TEDS and initiating, classifying, and fulfilling requests. The Contractor shall be required to create a justification case for each request and submit to the State for approval.

A.17.15.2 Validate & Classify Request

A.17.15.2.1 The Contractor shall provide and manage a tool for logging, recording, and categorizing requests.

A.17.15.2.2 The Contractor shall develop procedures and criteria for validating and classifying requests.

A.17.15.2.3 The Contractor shall use categorization and trending to identify possible training issues or areas for improving the end user experience in the TEDS.

A.17.15.3 Evaluate Request

A.17.15.3.1 The Contractor shall communicate requests to the State for evaluation and approval.

A.17.15.4 Fulfill Request

A.17.15.4.1 Once request is approved by State leadership, the Contractor shall fulfill requests in accordance with State standards.

A.17.15.5 Review & Close Request

A.17.15.5.1 The Contractor shall validate the request has been fulfilled and meets the needs of the end-user.

A.17.15.5.2 Once the end-user validates the request has been fulfilled, the Contractor shall be responsible for closing out request.

A.17.15.6 Cancel Request

A.17.15.6.1 The Contractor shall produce and publish to the State a formal request cancellation document.

A.17.16 Technology Operations

A.17.16.1 The Contractor shall maintain a 24/7/365 on-site production control/operations control/console management (Service Desk) providing support to STS and the State for all technology operations activities. All data management activities are to be in compliance with the Contract requirements.



- A.17.16.2 The Contractor shall manage all operation production and output management activities and staff.
- A.17.16.3 The Contractor shall work with HCFA IS managers, STS, Technical Change Control Board, Problem/Incident management and other State Agencies and business partners (i.e. Department of Labor, DHS, Department of Health, Finance and Administration, Axis Direct, Federal Hub, CMS, Hewlett Packard, etc.)
- A.17.16.4 The Contractor shall manage any/all real time transactions, batch scheduling, output/print (i.e. notices, letters), interfaces, changes, and other production/operational related issues and activities.
- A.17.16.5 The Contractor shall develop and provide a daily Operations Report, including, but not limited to:
 - A.17.16.5.1 Interface events and issues
 - A.17.16.5.2 System events and issues
 - A.17.16.5.3 Software events and issues
 - A.17.16.5.4 Errors and Anomalies
 - A.17.16.5.5 Transactions Sent and Received (Daily and Total Amount)
 - A.17.16.5.6 Transaction Types
 - A.17.16.5.7 Staffing and Operational Activities and Issues
 - A.17.16.5.8 Number of notices and letters received and sent (including any and all reconciliation efforts)
 - A.17.16.5.9 Audit tracking of letter/notices by page
 - A.17.16.5.10 Cumulative statistics and complete breakdown of all letters and notices by type.
 - A.17.16.5.11 Performance against Service Levels Agreements
 - A.17.16.5.12 Such other information as the State may request in writing from the Contractor.
- A.17.16.6 Service Desk
 - A.17.16.6.1 The Contractor shall maintain a 24/7/365 Service Desk partnering with STS and the State to resolve issues.
 - A.17.16.6.2 The Contractor shall leverage existing Server and Hardware Management tools and processes when possible within the STS NOC.
 - A.17.16.6.3 The Contractor shall maintain a 24/7/365 Service Center within the Service Desk in close coordination with the infrastructure service provider (STS).



- A.17.16.6.4 The Contractor shall leverage existing tools and processes used in the STS NOC where available and possible.
- A.17.16.6.5 The Contractor shall maintain 24/7/365 console management strategies within the Service Desk providing support to the State.
- A.17.16.6.6 The Contractor shall review TEDS batch job requests, validate schedules, and coordinate computer processing time based on system priorities, program run-time, processing, and restart requirements; considering batch and production windows/schedules.
- A.17.16.6.7 The Contractor shall maintain 24/7/365 Online and Batch Job management procedures within the Service Desk.
- A.17.16.6.8 The Contractor shall provide any/all scheduling information and monitoring tools to meet the requirements of this contract.

A.17.16.7 Backup and Restore

- A.17.16.7.1 The Contractor shall develop and maintain State-approved backup and restore process and documented procedures to support State technical teams through the SDLC process.
- A.17.16.7.2 The Contractor shall provide backup and restore completion reports to the State for review during periodic service level review meetings.
- A.17.16.7.3 The Contractor shall perform a State-selected data restore test on a monthly basis that demonstrates successful backup/recovery strategies.
- A.17.16.7.4 The Contractor shall maintain the Solution's Recovery Time Objective (RTO) of two (2) hours. In case of a disaster that affects system operations, the Solution shall be restored in its entirety within two (2) hours.
- A.17.16.7.5 The Contractor shall maintain the Solution's Recovery Point Objective (RPO) of no more than one (1) hour of data loss. In case of a disaster that affects the system operations, a maximum of one (1) hour of data inputs to the Solution may be lost and require re-entry.

A.17.16.8 Storage and Archive

- A.17.16.8.1 The Contractor shall comply with the storage archiving and purging policies and procedures established by the State.

A.17.16.9 Network Management

- A.17.16.9.1 The Contractor shall partner and leverage existing Network Management tools and processes within the STS NOC.

A.17.16.10 Database Administration

- A.17.16.10.1 The Contractor shall monitor the Database performance and operations on 24/7/365 basis.



A.17.16.10.2 The Contractor shall be responsible for any/all application and database functions, including but not limited to: maintaining product currency (version/release/patching), security, licenses, file maintenance, tuning, optimization, and all related Database Administration functions.

A.17.16.11 Directory Services Management

A.17.16.11.1 The Contractor shall develop a Solution that is compatible with the State's Directory Services and Identity Management solution.

A.17.16.11.2 The Contractor, in coordination with STS and the State, shall monitor events 24/7/365 on the Directory Services, such as unsuccessful attempts to access a resource, and take the appropriate action where required.

A.17.16.12 Middleware (Application/Internet/Web) Management

A.17.16.12.1 The Contractor, in coordination with the State and other State Contractors function, shall ensure that appropriate middleware solutions for the TEDS are chosen and that they can perform optimally when they are deployed.

A.17.16.12.2 The Contractor, in coordination with STS, shall detect and resolve issues related to TEDS middleware.

A.17.16.12.3 The Contractor, in coordination with STS, shall update TEDS-related middleware, including licensing, patching, and installing new versions.

A.17.16.13 Facilities and Data Center Management

A.17.16.13.1 The Contractor shall comply with the existing processes and standards for Data Center Management provided by STS, and leverage STS services for maintaining the TEDS infrastructure.

A.17.17 Print Output Management

A.17.17.1 Print/Letter/Notices/Electronic Output

A.17.17.1.1 The Contractor shall be responsible for the TEDS print output (letters/notices) that shall be stored as individual electronic documents in an electronic content management system, indexed and associated to existing application/case/member, archived, and available for viewing and/or printing through the TEDS.

A.17.17.1.2 The Contractor shall define, develop, implement, and maintain a document management system (e.g. HP Exstream) for managing all aspects of document creation, modification, and output.

A.17.17.1.3 The Contractor shall define, develop, implement, and maintain an electronic content management system. The State shall like to re-use, where possible, the currently utilized ECM tool, FileNET.



- A.17.17.1.4 The Contractor shall be responsible for creating, processing, printing, mailing and tracking each mail piece through the output process. Output management includes, but is not limited to, forms design, printing, folding/insertion into envelopes, co-mingling, and delivery to the USPS.
- A.17.17.1.5 The Contractor shall manage and re-mail returned mail received from the USPS, and associating to an existing application/case/member.
- A.17.17.1.6 The Contractor shall systematically update addresses received from the USPS as directed by the State.
- A.17.17.1.7 The Contractor shall provide and maintain approved inventory levels, including mailing envelopes and attachments as necessary.
- A.17.17.1.8 The Contractor shall support USPS tracking processes and industry standard print tracking processes, including but not limited to intelligent mail barcode and USPS address verification and validation. Examples of USPS address verification and validation systems include:
 - a) Coding Accuracy Support System
 - b) Multi-line Accuracy Support System
- A.17.17.1.9 The Contractor shall provide complete tracking of each individual letter/notice by page and provide a complete audit of such in the Daily Operations Report.
- A.17.17.1.10 The Contractor shall produce, print, and mail all printed output.
 - a) Routine TEDS letters and notices that are to be printed, shall be inserted and mailed within two (2) business days of production, as defined by the State's daily operation processes.
 - b) The Contractor shall have the ability to future date TEDS letters and notices.
 - c) High-volume or mass mailing of TEDS letters and notices that are to be printed, shall be inserted and mailed based on a schedule defined by the State's operation processes.
- A.17.17.1.11 The Contractor shall deliver the letter/notice to the USPS within two (2) business days of letter creation.
- A.17.17.1.12 The Contractor shall provide postage mechanisms and be responsible for all postage costs to be utilized during the output process.
- A.17.17.1.13 The Contractor shall archive and store the combined bulk print-stream for audit and review purposes.
- A.17.17.1.14 The Contractor shall be directly responsible for ensuring all notices, letters and other electronically generated output is produced, printed, mailed and thoroughly monitored for completeness and quality.



- A.17.17.1.15 The Contractor shall manage, on a daily basis, the relationship with any/all third-party service providers to manage and resolve any issues associated with print output.
- A.17.17.1.16 The Contractor shall provide a test environment to ensure all development, including forms (template) design, content, data accuracy and through-put is thoroughly tested and approved by the State before moving into production.
- A.17.17.1.17 The Contractor shall have the ability to print all documentation in a double-sided format and in Spanish if required by the State.
- A.17.17.1.18 The Contractor shall process, print, and mail documents in the appropriate envelope as defined by number of pages and envelope size limitations.
- A.17.17.1.19 The Contractor shall ensure that all notices are formatted to align the letter or notice address with USPS envelope address windows, and prevent all other information from being visible.
- A.17.17.1.20 The Contractor shall have the ability to include attachments or inserts, which vary by notice type, within the printing process.
- A.17.17.1.21 The Contractor shall have the ability to print letters, notices, and attachments on color pages, as defined by the State.
- A.17.17.1.22 The Contractor shall ensure that notice-related errors triggered during the batch-print process do not prevent the completion of the batch-print process.
- A.17.17.1.23 The Contractor shall have the ability to perform high-volume batch printing in one session or separated across multiple sessions. The Contractor shall provide the printers needed for this functionality at no additional cost to the State and to be located at the Contractor's facility.
- A.17.17.1.24 The Contractor shall provide manual work-around processes, at no additional cost to the State, upon failure of automated output processes.

A.17.17.2 Document Print/Letter/Notices/Electronic Output Management

- A.17.17.2.1 The Contractor shall provide on-going support, testing, and maintenance of the Output Management Software for print, notices, letters, and templates.
- A.17.17.2.2 The Contractor shall create and/or modify specified print, notice, letter templates, and other elements within time frames specified by the State. The list of notices can be found in Contract Attachment 3.
- A.17.17.2.3 The Contractor shall provide test environment and drafts for approval by State business unit and business partners. The Contractor shall include the State throughout the lifecycle of notice development and testing.
- A.17.17.2.4 The Contractor shall, upon State approval, deploy new or modified templates and print/letters to production environment.



- A.17.17.2.5 The Contractor shall set-up, execute, monitor, and take corrective action on any/all issues related to print, notices, letters, and production/test processes.
- A.17.17.2.6 The Contractor shall work with State agencies and/or third party mail vendors, mail co-mingle vendors, and other State partners to track the quantity and quality of each type of print, notice, or letter created as part of the daily processing cycle by the TEDS.
- A.17.17.2.7 The Contractor shall take corrective action to resolve all production discrepancies, issues, and incidents before errors reach the USPS.
- A.17.17.2.8 The Contractor shall regenerate print data files as requested.
- A.17.17.2.9 The Contractor shall monitor and review all print, notice, or letter file outputs for completeness and ensure the correct print, notice, or letter is generated for the intended purpose and the intended recipient.
- A.17.17.2.10 The Contractor shall reconcile any discrepancies/differences and take corrective action before progressing to the next step.
- A.17.17.2.11 The Contractor shall compare counts of each printed notice/letter type generated in TEDS with folder/inserter and USPS counts in real-time to prevent any lost, incomplete or overage in production.
- A.17.17.2.12 The Contractor shall produce and reconcile final counts of each print, notice and letter type to validate postage charges and send final report to the State daily.
- A.17.17.2.13 The Contractor shall test new or modified print, letters and notices to ensure quality and accuracy of templates.
- A.17.17.2.14 The Contractor shall monitor daily print, validate quality, process letters and notices and accommodate necessary changes to the daily print, letter, and notices schedule based on outages, ad-hoc requests, or needed system recoveries.
- A.17.17.2.15 The Contractor shall design, develop, manage and practice letter and notice processing portion of the BC/DR Plan for letter and notice processing.
- A.17.17.2.16 The Contractor shall provide proof of services and evidence of a contract for a disaster recovery site for Print Output Management.
- A.17.17.2.17 The Contractor shall develop and establish a program of regular DR testing, at a minimum twice a year, to ensure critical components of the BC/DR strategy can be recovered within the desired Recovery Time Objective for Print Output Management.

A.18 Turnover

- A.18.1 The Contractor shall be responsible for planning and supporting turnover of the Solution at the completion of the required term, or in the event of contract termination. The Contractor shall provide a complete transition to a successor, which could include the State or other State contractors. The State may exercise an option to extend the



Operations and Maintenance period of this Contract and delay all Turnover activities for a commensurate period of time. The State shall work closely with the Contractor during this process and must approve all updates to the Contractors Turnover approach and plans.

A.18.2 The Contractor shall maintain staff throughout the Turnover period to satisfy and maintain compliance with all performance standards and requirements identified in the Contract. The Contractor shall supply additional staff on-call for three (3) months after the successful Cut-Over. Turnover activities include:

- A.18.2.1 Planning for the Turnover
- A.18.2.2 Managing and Executing the Turnover
- A.18.2.3 Turnover Training and Knowledge Transfer
- A.18.2.4 Cut-Over
- A.18.2.5 Contract Closeout

A.18.3 Planning For The Turnover

A.18.3.1 The Contractor shall develop, deliver, and execute a Turnover Plan. The Turnover Plan shall include a comprehensive approach to turnover, including but not limited to resources, staffing, training, milestones, and tasks to successfully transfer responsibility for Operations and Maintenance of the Solution at a level of performance and customer support equal to the level achieved by the Contractor. The Turnover Plan shall include:

- A.18.3.1.1 Procedures to identify all software, data, documentation, and miscellaneous supplies that shall be transferred to the State
- A.18.3.1.2 Approach to how the Contractor shall support training and knowledge transfer from the Contractor to the State
- A.18.3.1.3 Approach to testing and verification, consistent with agreed upon testing procedures with the State
- A.18.3.1.4 Approach to cut-over of the Service Desk, which can occur either concurrent with or after the system cut-over at the discretion of the State
- A.18.3.1.5 Success criteria for the completion of cut-over and final acceptance of all Operations and Maintenance service activity, including defect resolution, by the State
- A.18.3.1.6 Mitigation and CPs to address turnover failures
- A.18.3.1.7 State and Contractor tasks for Turnover
- A.18.3.1.8 Schedule for Turnover
- A.18.3.1.9 Approach to verification of the States readiness, including assessments of staff, technology, and processes
- A.18.3.1.10 Approach to managing change to the Solution throughout the transition



A.18.4 Managing And Executing The Turnover

- A.18.4.1 The Contractor shall provide consistent staffing, including Key Personnel and management, during the execution of the Turnover to transition all aspects of operation of the Solution from the Contractor to the State or other State Contractors. The Contractor and State shall confirm transition to the successor.

A.18.5 Management of the Turnover

- A.18.5.1 The management of the Turnover shall be integrated with the project management structure and successor's schedule. The primary activities in this stage are focused on transition planning to support the continuation of operational readiness of the TEDS. The Contractor shall manage all aspects of the Turnover that affect cost, schedule, performance (scope and quality), risk/issues/opportunities, and resources that are under Contractor control. Additionally, the Contractor shall work with the State and/or successor to implement the Turnover Plan.
- A.18.5.2 The Contractor shall prepare, in cooperation with the Successor, and submit a Turnover schedule within six (6) months or one hundred twenty (120) business days (whichever is longer), of the State's informing the Contractor of the start of the turnover stage. The schedule shall address all Turnover activities until the successful transition of operations.

A.18.6 Staffing the Turnover

- A.18.6.1 The Contractor shall have an organizational staffing model in place to retain appropriate staffing levels for the successful continuation of operations, and to support the transition during the Turnover stage. The Contractor shall have staff to successfully support all requirements of the Contract until Contract closeout is finalized.
- A.18.6.2 The staffing model shall include an estimate of the types of skills, responsibilities, and salary of personnel required to assume full Operations and Maintenance support as delivered by the Contractor under this Contract.
- A.18.6.3 The staffing model shall include both the type of activity of the personnel and the location of the personnel, including but not limited to the following activities:
- A.18.6.3.1 Application Management Operations and Maintenance functions
 - A.18.6.3.2 Technical Management Operations and Maintenance functions
 - A.18.6.3.3 Systems, Network, Database, and Storage Management functions
 - A.18.6.3.4 Service Desk Operations and Maintenance functions
 - A.18.6.3.5 Administrative Staff
 - A.18.6.3.6 Management
 - A.18.6.3.7 Other Key Contacts

A.18.7 Executing the Turnover



- A.18.7.1 The Contractor shall execute the Turnover to transition all aspects of operation of the Solution to the State or identified party. This includes the transfer of software, including source program code, COTS systems, and executable copy of the enhanced Solution, and all related system and process documentation. The Contractor shall ensure that all transferred information is current as of the last successfully implemented change.
- A.18.7.2 Throughout the Turnover the Contractor shall work with the State to coordinate system change activities, define a freeze period, and develop a process for implementation and coordination of any emergency change required during the execution. All transfers must be made on electronic media or network transfer and approved by the State.
- A.18.7.3 At a minimum, the Turnover shall include the Contractor providing the following items and support:
 - A.18.7.3.1 Inventory and configuration of all hardware/system components required to support Operations and Maintenance for all environments of the Solution at the required level of performance, availability, and capacity, including:
 - A.18.7.3.2 As-Is hardware configuration diagrams showing the relationship between all system, network, security, and service management components
 - A.18.7.3.3 All System hardware/firmware descriptions, licenses, versions/releases
 - A.18.7.3.4 All security management, service management, storage management, code management, and test management software
 - A.18.7.3.5 Inventory of all software, data and associated documentation to be transferred
 - A.18.7.3.6 All source code, complied code, scripts
 - A.18.7.3.7 All System software/firmware descriptions, licenses, versions/release
 - A.18.7.3.8 Inventory of all development, Operations and Maintenance tools, processes and procedures in use by the Contractor in support of the Solution.
 - A.18.7.3.9 Inventory of all tools and documentation used by the Service Desk
 - A.18.7.3.10 Proof of licensing and maintenance contracts for all purchased software components
 - A.18.7.3.11 BC/DR site requirements
 - A.18.7.3.12 Periodic transfers of all software, file systems and documentation
 - A.18.7.3.13 Transfer and verification of all user ID and access information to include all configuration data and documentation in use to be establish and maintain accurate user access



- A.18.7.3.14 Verification that documentation, including user, functional, maintenance, development and operational manuals needed to operate and maintain the system is available in electronic format
- A.18.7.3.15 Transfer of all current and historical support records including but not limited to:
 - a) Incident Management Records
 - b) Problem Management records including work-around(s) and known errors or defects
 - c) Change Management records, including Post Implementation reports
 - d) Release Management records
 - e) Security Incident records
 - f) System and Network performance reports
 - g) System and Network performance data records
 - h) Root Cause Analysis reports
- A.18.7.3.16 Assist the State in validating and verifying all systems are appropriately configured, and support incident response, system restoration, problem identification and problem resolution throughout all stand-up and testing activity
- A.18.7.3.17 Participate with the State in execution of all testing
- A.18.7.3.18 Completion of the State readiness assessment to include assessment of ability of technology, personnel and processes to support full Solution Operations and Maintenance at the level of performance established by the State

A.18.8 Turnover Training and Knowledge Transfer

- A.18.8.1 The Contractor shall provide training to the State staff and/or the successor Contractor for no less than 6 months prior to cut-over in order for the State to assume responsibility of the O&M of the Solution. The contractor shall augment training with mentoring and shadowing of personnel either in the Contractor's production environment or during set-up and testing of the States environments.
- A.18.8.2 At a minimum, the Turnover training shall include the following:
 - A.18.8.2.1 Introduction to the Solution functions and capabilities
 - A.18.8.2.2 All application development tools, processes, and procedures
 - A.18.8.2.3 All application (custom or COTS)/system/infrastructure Operations and Maintenance responsibilities
 - A.18.8.2.4 All application/system/infrastructure support processes and procedures



- A.18.8.2.5 All management tools (e.g., security management, systems management, storage management, IT service management, etc.)
- A.18.8.2.6 All Service Desk systems, processes, and procedures
- A.18.8.2.7 Any and all other responsibilities necessary to sustain Operations and Maintenance of the Solution at the required level of performance
- A.18.8.2.8 Standard Operating Procedure manual

A.18.9 Contract Closeout

- A.18.9.1 Contract closeout occurs at the end of the Turnover stage. The State expects the Contractor to have completed all contracted work during the Operations stage prior to contract closeout. Any incomplete or remaining work in which the Contractor expects to transition to the State or successor Contractor must receive prior approval from the State. Contract closeout responsibilities, deliverables and penalties shall survive the termination date of this Contract and continue until the Contractor has fulfilled all Turnover activities and met all closeout requirements to the State's satisfaction and approval. The Contractor shall provide verification in writing to the State that all items required to be transferred to the State have been transferred and removed from the Contractors systems. The verification in writing shall be delivered to the State at a date before the end of the Turnover period as determined by the State.

A.19 Security and Privacy

- A.19.1 The Contractor shall, for any and all systems involved in the processing of the Patient Protection and Affordable Care Act (PPACA) and HIPAA related information, comply with the all applicable Federal and State laws and regulations as required for each data type and classification.
 - A.19.1.1 Any reference to MARS-E, even under CMS context references, should also infer compliance with current IRS Safeguards Program and IRS Publication 1075, including future updates, where applicable by usage of data type and/or classification.
- A.19.2 The Contractor shall ensure capabilities are provided in their system design to support CMS guidance issued in the "NIST Special Publication 800-63-2", including future CMS updates.
- A.19.3 The Contractor shall develop a FTI labeling methodology, included within the System Architecture Design Document, for any location in which IRS data will be stored. This shall be approved by the HCFA Privacy Office. IRS data shall be grouped together as much as possible by design to prevent comingling.
- A.19.4 The Contractor shall be responsible for the following phases with regards to Contractor's security and privacy related activities throughout the lifecycle of the contract under the oversight of the State:
 - A.19.4.1 DDI
 - A.19.4.2 Operations and Maintenance
 - A.19.4.3 Testing



- A.19.4.4 Monitoring
- A.19.4.5 Turnover
- A.19.5 The Contractor shall ensure that all file uploads from remote users in the Solution shall have a virus scan prior to being processed further with appropriate feedback to the uploader of success or failure.
- A.19.6 Data Classification
 - A.19.6.1 The Contractor shall classify all data collected by the Solution, regardless of the source (such as data entered through the web portal, data received through interfaces from sources such as the FDSH, image scans, Department of Homeland Security, IRS, or file uploads). The State shall approve the security and privacy standards that shall be applied to each classification.
 - A.19.6.2 The Contractor shall identify why and how each data element is captured, how it is to be retained, and the archive and purge processes that apply to the data.
 - A.19.6.3 Contractor shall retain records as required by applicable laws and regulations.
 - A.19.6.4 The Contractor shall classify data elements in a way that identifies applicable security controls based on the Federal and State regulations and policies to the class of the data elements.
 - A.19.6.5 The Contractor shall identify the security controls that apply to each data class and/or type and ensure appropriate controls are established for the Solution based on data flows through the system.
 - A.19.6.6 The Contractor shall maintain and track data types/classifications in the data dictionary or equivalent process.
 - A.19.6.7 The Contractor shall have the ability to provide data classifications for all data extracted from the Solution.
- A.19.7 Regulatory compliance
 - A.19.7.1 The Contractor shall demonstrate that the Solution meets or exceeds industry standards and applicable federal and state security requirements.
 - A.19.7.2 The Contractor shall ensure the security of the Solution is compliant with state and federal standards, regulations and publications, including but not limited to:
 - A.19.7.2.1 45 Code of Federal Regulations (CFR) Part 95.621(f) Automatic Data Processing System Security Requirements and Review Process
 - A.19.7.2.2 NIST Special Publication 800 series
 - A.19.7.2.3 NIST Cryptographic Module Validation List (<http://csrc.nist.gov/groups/STM/cmvp/validation.html>)
 - A.19.7.2.4 IRS Safeguards Program and IRS Publication 1075
 - A.19.7.2.5 Federal Records Retention Schedule 44 USC 3303a



- A.19.7.2.6 Privacy Act of 1974 at 5 USC 552a
- A.19.7.2.7 Computer Matching and Privacy Protection Act of 1988 (CMPPA)
- A.19.7.2.8 SSA Information System Security Guidelines for Federal, State, and Local Agencies
- A.19.7.2.9 Child Online Privacy Protection Act
- A.19.7.2.10 Medicaid Confidentiality Rules at 42 CFR
- A.19.7.2.11 HIPAA
- A.19.7.2.12 Federal security and privacy standards adopted by the U.S. Department of Health and Human Services for Exchanges (MARS-E)
- A.19.7.2.13 18 USC 1905 Criminal Code: Disclosure of Confidential Information
- A.19.7.2.14 HITECH
- A.19.7.2.15 Patient Protection and Affordable Care Act and U.S. Department of Health and Human Services (HHS) Final Rule
- A.19.7.2.16 Governing State Agency Policies and regulations including State and STS

A.19.7.3 Once established, no security provisions for firewalls, client and server computers, and user profiles and controls shall be modified without written State approval.

A.19.8 Security controls

A.19.8.1 The Contractor shall be responsible for design, development, implementation, documentation and operation of security controls over access to sensitive functions and data of the Solution until termination of the contract. Security controls include, but are not limited to:

- A.19.8.1.1 Processes and procedures
- A.19.8.1.2 Tools
- A.19.8.1.3 Incident monitoring and response that is compliant with MARS-E
- A.19.8.1.4 CMS, IRS and SSA continuous monitoring and incident reporting directives.

A.19.8.2 The Contractor shall map security controls and standards established in MARS-E and relevant CMS MEESRP checklists and IRS guidance to requirements for development and operational processes and procedures.

A.19.9 SDLC-related Security Requirements

A.19.9.1 The Contractor shall prepare and submit artifacts related to security that shall be reviewed in Gate Reviews, as defined in the SDLC, and approved by stakeholders before development may continue.



- A.19.9.2 The Contractor shall prepare architecture artifacts, deliverables and Gate Review documents as specified in the Table of Deliverables in Section A.27.
 - A.19.9.3 The Contractor shall resolve any findings identified from a vulnerability assessment.
- A.19.10 Operations and Maintenance-related Security Requirements
- A.19.10.1 The Contractor shall report data breaches to HCFA Privacy, IS Director, and Security offices as soon as possible, but no more than twenty four (24) hours from awareness of the incident or sooner if overriding regulations apply.
- A.19.11 Facilities-related Security Requirements
- A.19.11.1 The Contractor's facilities designated to the project shall meet or exceed all applicable information security and privacy regulations and policies pursuant to the data classifications contained, stored, or in transit within the facilities.
 - A.19.11.2 The Contractor shall be responsible for notifying The State of any data in the facilities (electronic, paper, or other) that is not classified as public and related to State concerns for security and privacy.
 - A.19.11.3 The Contractor shall make its facilities reasonably available for inspection by the State or security staff when requested.
- A.19.12 Continuous Monitoring for Changes to Security and Policy
- A.19.12.1 The Contractor shall monitor Federal (CMS, IRS and SSA at a minimum) and State security policies and regulations as well as those of the States departments and offices including, but not limited to, STS, HCFA, Defense Information Systems Agency, and Security Technical Implementation Guides for system hardening.
 - A.19.12.2 The Contractor shall define in the System Security Plan the approach to monitor, analyze and implement any such changes to the State.
- A.19.13 Coordination with Third-Party Vendors
- A.19.13.1 The Contractor shall be responsible for ensuring that security and privacy policies, processes, procedures and appropriate documentation related to the project environment is satisfactory or identified as a gap for remediation and escalated/tracked, as appropriate.
 - A.19.13.2 The Contractor shall, with regards to the TEDS, perform regular monitoring and assessment of compliance with security and privacy policies, processes, procedures and documentation for all those who access the system, as defined by the State.
- A.19.14 Risk Management Framework
- A.19.14.1 The Contractor shall employ a Risk Management Framework consistent and aligned with the most recent version of the NIST SP 800-37, *Guide for Applying the Risk Management Framework to Federal Information Systems*, to ensure that throughout all Gates Reviews and O&M:



- A.19.14.1.1 Information system security related risks are managed in a way that is consistent with the organization's mission/business objectives and overall risk management strategy established by the senior leadership through the risk executive (function);
- A.19.14.1.2 Information security requirements, including necessary security controls, are integrated into the organization's enterprise architecture and System Development Lifecycle (SDLC) processes;
- A.19.14.1.3 The framework supports consistent, well-informed, and ongoing security authorization decisions (through continuous monitoring), transparency of security and risk management-related information, and reciprocity;
- A.19.14.1.4 Information and information systems are effectively secured by implementation of appropriate risk mitigation strategies.

A.19.15 Security and Privacy Controls and Tools

- A.19.15.1 The Contractor shall provide Security and Privacy Controls
- A.19.15.2 The Contractor shall provide Security and Privacy Tools and appropriate staff experienced with proposed Tools.
- A.19.15.3 The Contractor shall configure and facilitate all feeds from the Solution to communicate with established QRadar collectors.

A.20 Organizational Change Management and Training

- A.20.1 The Contractor shall adhere to and support the implementation of the State's OCMT Approach, and work directly with the OCMT Team for all identified communication and stakeholder engagement needs. The Contractor shall be identified as a Subject Matter Authority in the OCMT Approach and shall assist in the execution of any and all sections, activities, and/or policies per the State-approved OCMT Approach.
- A.20.2 The Contractor shall follow timeline milestones that are representative of the required sequence and timing of activities. Timelines are dependent upon several factors, and the State reserves the right to adjust timelines and sequences of training events based on number of users, availability of training facilities, and the determined combination of instructor-led training and/or self-paced, web-based training learning. Timeline requirements include but are not limited to:
 - A.20.2.1 Training delivery shall begin no fewer than two (2) months prior to each release and remain open for no fewer than one (1) month after each release, as required by the State
 - A.20.2.2 Training environment shall be established and access granted to the OCMT team no fewer than seven (7) months prior to each phase release such that the development of all requisite training materials may begin.
 - A.20.2.3 In accordance with the establishment of the training environment, the Contractor shall provide system training to the OCMT personnel for the purpose of training materials development.
 - A.20.2.3.1 System training shall occur six (6) months prior to Go-Live of the TEDS.



- A.20.2.4 Training environment refreshes shall be completed at least daily during single-day training delivery and as needed during multi-day training delivery.
- A.20.3 In accordance with objectives of the OCMT Approach and the requirements defined below, the Contractor shall fully comply with all responsibilities and/or perform all activities as a contributing group that supports the successful execution of OCMT.
 - A.20.3.1 The Contractor shall provide subject matter experts for training activities.
 - A.20.3.2 The Contractor shall develop materials and facilitate train-the-trainer sessions.
 - A.20.3.3 The Contractor shall develop and maintain the TEDS training environment.
 - A.20.3.4 The Contractor shall perform data setup activities for the TEDS training environment.
- A.20.4 The Contractor shall include, consult, and work directly with assigned project OCMT personnel for any and all process, systems, and/or operating model planning, analysis, and/or design efforts, workshops, and/or other meetings
- A.20.5 The Contractor shall provide the project plan and validate major milestones and timing to ensure alignment with Stakeholder and/or OCMT activities across the project lifecycle
- A.20.6 The Contractor shall provide process flows (end-to-end processes), including application process steps and systems documentation (including screen shots) to the OCMT team that can be utilized as the foundation to build MMP related trainings
- A.20.7 The Contractor shall provide resources sufficient to support the following training activities, including but not limited to:
 - A.20.7.1 All those activities defined to support the various phases of the Training Approach (Analysis, Design, Development, Implementation, and Evaluate) that are included in subsequent sections of this document
 - A.20.7.2 Defining user roles
 - A.20.7.3 Supporting the identification of appropriate curriculum and delivery models
 - A.20.7.4 Participating and providing information during Training Development Knowledge Share Sessions
 - A.20.7.5 Validating and approving training materials related to the technical Solution
 - A.20.7.6 Building and maintaining the training environments
 - A.20.7.7 Creation of user profiles and log-in credentials in any quantity as requested by the State to allow trainers and end users appropriate access to the training environments
 - A.20.7.8 Providing subject matter experts in specific work areas, processes, applications, etc. to support classroom learning and train-the-trainer programs supplying at least one (1) SME in each discreet classroom training event



- A.20.7.9 Providing support of post Go-Live training events that encompass prior training support activities delivered or supported by the Contractor for a period of time as deemed reasonable by the State
- A.20.7.10 The Contractor shall support the training analysis phase or process by providing and collaborating with the OCMT Team on an ongoing basis in the following ways, including but not limited to:
 - A.20.7.10.1 Providing insight into role definitions and assignments required to operate and/or support future-state applications and processes
 - A.20.7.10.2 Providing insight into standard training curriculum requirements required to support future-state applications and processes
 - A.20.7.10.3 Providing insights into the training delivery framework required to support future-state applications and processes
 - A.20.7.10.4 Actively collaborating with training team to select industry standard training approaches for the State end user population
- A.20.8 The Contractor shall build and maintain two (2) fully functional training environments per concurrent release representative of the final-state operational system (e.g., final user interface/GUI) that are dedicated to supporting training activities (training development and training delivery). The two (2) separate environments must clearly and accurately reflect upcoming software versions and closely align with the software release schedule.
- A.20.9 Training development and training delivery environments shall include a minimum of the following:
 - A.20.9.1 Transactional data (masked according to the security and/or confidentiality guidelines provided by the State)
 - A.20.9.2 Training development environment to stage scenarios, get screen shots, etc., to support the defined training schedule
 - A.20.9.3 Identification and provision of training environment data in order to provide for scenario based training
 - A.20.9.4 Specific trainer profiles & credentials that provide fully functional capabilities within both the development and delivery environments
 - A.20.9.5 Sufficient user profiles respective of future state roles within the State to perform and execute any and all potential concurrent classes as defined by the training schedule and/or the State
 - A.20.9.6 Associated log in credentials to support user profiles
 - A.20.9.7 Training environment shall be established and access granted to the OCMT Team no fewer than seven (7) months prior to Go-Live of each release to allow the development of all requisite training materials.
 - A.20.9.8 Training environment shall be established and access granted to end-users no fewer than three (3) months prior to Go-Live of each release.



A.20.10 The Contractor shall support the training design and development phases (or process) by providing and collaborating with the OCMT team on an ongoing basis in the following ways, including but not limited to:

- A.20.10.1.1 Aligning project plan(s) and validating major milestones to support training timelines
- A.20.10.1.2 Providing existing and historical baseline training materials (in digital or print format as required by the State) such as but not limited to train-the-trainer training manuals, quick reference guides, PowerPoints, simulations, etc.
- A.20.10.1.3 Actively participating and providing information during training development knowledge share sessions
- A.20.10.1.4 Training and supporting the State-appointed OCMT personnel on any and all system specific work areas, processes, applications, etc. as deemed appropriate by the State for the purposes of executing a system-based scenario training program to all impacted State personnel
- A.20.10.1.5 Providing, as requested, validation of future-state process information and documentation
- A.20.10.1.6 Providing or cooperating in the identification of realistic, representative business scenarios to be used for training development and delivery purposes as defined by the State
- A.20.10.1.7 Providing access to the training development environment at the outset of the training development phase
- A.20.10.1.8 Coordinating and supporting the development and maintenance of hardware requirements (for example, but not limited to, classroom computers or laptops, independent servers that might be required to house training development tools and associated content, etc.) with the State for training delivery purposes
- A.20.10.1.9 Providing a minimum of one hundred (100) training laptops and other required physical hardware, for State use during training, to support the training design and implementation of all TEDS-related trainings. All hardware used (procured or leased by the Contractor) will be adequately fitted with current training environments and/or software. Facilities and hardware must be maintained for a minimum of 100 participants.
- A.20.10.1.10 Maintaining training and laptop software, hardware, and system services required by each release's training needs.
 - a) The Contractor shall ensure that each provided laptop has, at a minimum, been configured with, and can successfully run, the then most current version of Microsoft Suite products, Internet Explorer and Adobe Reader.
 - b) The Contractor shall ensure that each laptop system has sufficient access to the then current TEDS training environment(s) and other associated software that will be required for training purposes.



- c) The Contractor shall determine, with the assistance of the State, the most efficient manner to access these environments through a combination of downloaded and internet accessible applications.
- d) The Contractor shall ensure that each laptop is installed and maintained with virus protection software that meets the Contract requirements at time of usage.
- e) The Contractor shall provide the State any necessary advice and support to ensure that the laptops software is functioning in a consistent and secure manner throughout training preparation and course delivery.
- f) The Contractor shall maintain the required installed software with the most current software versions and/or patches throughout the timeframe of the engagement.

A.20.10.1.11 Adhering to the State's approved OCMT QM process

A.20.11 The Contractor shall support the Training Implementation phase (or process) by providing and collaborating with the OCMT Team on an ongoing basis in the following ways, including but not limited to:

- A.20.11.1 Delivering (or supporting the delivery of) and actively participating in training and/or classroom sessions and activities as needed and defined by the State in order to provide subject matter expertise in specific work areas, processes, applications, etc. (supplying at least one (1) Subject Matter Advisor in each discreet classroom training event)
- A.20.11.2 Providing feedback on training program for continuous improvement efforts
- A.20.11.3 Providing necessary support for the appropriate maintenance of the training environment (e.g., making updates to scenarios or transactional data to support continuous improvement)
- A.20.11.4 Providing necessary resources to execute and maintain an active training environment refresh schedule based on scheduled training events to support any and all potential concurrent classes defined by the training schedule
- A.20.11.5 Actively participate in any and all necessary hardware and other training infrastructure support activities to ensure smooth and consistent training delivery
- A.20.11.6 Training Delivery shall begin no fewer than two (2) months prior to each release and remain open for no fewer than one (1) month after each release as required by the State

A.20.12 The Contractor shall support the Training Evaluation phase or process by providing and collaborating with the OCMT Training team in the following ways, including but not limited to:

- A.20.12.1 Developing a Knowledge Transition Plan that encompasses prior training support activities delivered or supported by the Contractor



- A.20.12.2 Providing support of Post Go-Live training events that encompasses prior training support activities delivered or supported by the Contractor for a period of time as deemed reasonable by the State
- A.20.13 The Contractor shall support any and all CMS related awareness and training. The Contractor shall work with the OCMT team to ensure that the course is incorporated into the overall curriculum, and the Contractor shall provide all relevant content/SME input, and ensure that the presentation and delivery is consistent with State curriculum standards
- A.20.14 The Contractor shall support any and all other training activities to ensure an effective, positive learning experience as required by the State
- A.20.15 The Contractor shall provide a full-time, dedicated OCMT counterpart with appropriate OCMT background, to be approved by the State, whose responsibilities shall include, at a minimum, the effective and timely execution of any and all OCMT activities throughout the duration of all relevant Program project lifecycles
- A.21 Quality Assurance and Monitoring
 - A.21.1 The Contractor shall comply with the State's Quality Assurance Plan. The Contractor shall maintain compliance with all Plan components including project management and staff, contractors, and other participants in the project and all project activities.
 - A.21.2 The Contractor shall collaborate with the State to align the Contractor's Quality Assurance Plan to the State's Plan to support the monitoring methodology for the DDI stage of the project.
 - A.21.3 The Contractor shall provide an overall Quality Assurance Plan, customized for the EMP.
 - A.21.4 The Contractor shall establish QA roles & responsibilities internally and with the State Project Manager and sponsor.
 - A.21.5 In conjunction with the State and Other State Contractors, the Contractor shall support the internal QA process, including adhering to quality standards and supporting the effort to validate and verify that standards are met.
 - A.21.6 The Contractor shall provide access and training for usage of any tools that will be used in implementing and monitoring the process
 - A.21.7 The Contractor shall incorporate a QA review which results in remediation plans for both current and future project deliverables.
 - A.21.8 The Contractor shall conduct internal quality reviews for all deliverables before the deliverables are submitted to the State.
 - A.21.9 The Contractor shall support QA reviews performed by the State or State Contractors. The activities for which they will support include, but are not limited to: deliverable walkthroughs, incorporating revisions into deliverables, and supporting Gate Reviews.
 - A.21.10 The Contractor shall monitor the performance of each service against the service specific KPIs defined in Deliverable 28. The Contractor shall be responsible for reporting the KPIs and the associated supporting metrics at an agreed upon frequency with the State. The Contractor shall also be responsible for maintaining the agreed upon SLAs associated with these KPIs and supporting metrics as designated by the State. The State reserves



the right to require the Contractor to monitor and report on additional KPIs for performance areas based on deficiency. The KPI SLA reporting shall be input into the Contractor's CIP, described in detail in Section A.17.2.

A.22 Staffing

A.22.1 General Staffing Requirements. All personnel shall be employees or contracted staff of the Contractor and shall be fully qualified to perform the work required in this Contract. The Contractor shall provide experienced, qualified professionals to ensure the success of this project. Contractor personnel shall be qualified, allocated, present, focused and engaged with State, other State entities and other State Contractors. The Contractor shall provide these personnel in sufficient quantity to enable the Contractor to provide consistent and high quality deliverables and supporting work product, even during periods in which work on multiple projects are underway.

A.22.1.1 Contractor work will normally occur during the State's core business hours (8:00 AM to 5:00 PM Central time, Monday through Friday), during which the Contractor must provide coverage of key business areas. As directed by the State, exceptions may occur to accommodate scheduled project events that must occur during evenings or on weekends. The parties agree that the Contractor will furnish Contractor personnel as needed for these after-hours projects. Contractor work and travel schedules shall be approved in advance by the Program Director. The Contractor shall have production support staff available twenty four (24) hours per day seven (7) days per week during Operations and Maintenance.

A.22.1.2 Other than required approval of Key Personnel and subcontracted staff by the State, the Contractor shall have total responsibility for hiring and management of any and all Contractor staff and subcontractors determined necessary to perform the services in accordance with the terms of the Contract. The Contractor is responsible for maintaining a level of staffing necessary to perform and carry out all of the functions, requirements, roles, and duties as contained herein, regardless of the level of staffing included in its proposal, and upon a failure to do so, as reasonably determined by the State after consultations with the Contractor, the State may use the CM process to indicate dates by which staffing increases or replacements must be made. Failure to meet the staffing deadlines in the CM may lead to the imposition of Liquidated Damages as specified in Section A.22.10.4.

A.22.1.3 On-site Staffing Requirements. For purposes of this Contract, whenever the term "on-site" appears, it shall mean that the indicated Contractor staff and/or subcontractors shall be physically present during the percentages identified in Section A.22.15 and A.22.16, from their start date throughout the term of the Contract or until they are no longer performing services under the Contract. Personnel are considered on-site when working at either the Contractor's offices described in Section A.23 or at the HCFA offices located in Nashville, Tennessee as required by the State. "On-site" positions also require the Contractor staff and/or subcontractors to meet the dedication requirements for each role. Percentage dedicated means that the personnel shall be assigned to work the required portion of their time on the services to be provided under this Contract and the personnel may not work full or part time on other work unless approved in advance in writing by the State.

A.22.1.3.1 Roles that are established to support Operations and Maintenance through the remainder of the Contract and that are staffed shall be included in the measurement of Operations and Maintenance headcount for a given period, even though they may also be supporting enhancement activity for the same period.



- A.22.1.4 State approval of Contractor's Staff. The State shall have the discretion to approve or disapprove of the Contractor's and any of its subcontractor's Key Personnel, or to require the removal or reassignment of any Contractor's employee or subcontractor personnel found unacceptable to the State for work under this Contract only.
- A.22.1.5 Contractor Staff and CMS Reporting Requirements. The Contractor shall keep track of resource costs, both personnel and technical, on a per project basis in order to satisfy both the State and CMS reporting requirements for enhanced federal funding assistance. These resource costs shall be maintained by the Contractor and provided to the State upon request to support all time and materials projects. After consultation with the Contractor, the State will approve an invoice format that will meet the needs of the State and CMS. The Contractor shall submit an invoice in the required format for approval once the State has issued its acceptance of the deliverable.
- A.22.2 Subcontracted Staff. The Contractor may not subcontract, transfer, or assign any portion of the Contract without prior written approval of the State given after review and approval of the Contractor's proposed subcontract, transfer agreement, or assignment agreement. The State reserves the right to refuse approval, at its sole discretion, of any subcontract, transfer, or assignment and to revoke, at any time, its prior written approval of any subcontractor, transferee or assignee.

With regard to those subcontractors approved by the State during procurement of this Contract, the Contractor shall provide the State with a fully executed, complete copy of each subcontract on or before the earlier to occur of: (a) such subcontractors beginning work on this Contract, or, (b) within thirty (30) days of execution of the Contract. With regard to subcontractors approved by the State and engaged by Contractor after the Project Start Date, the Contractor shall provide the State with a fully executed, complete copy of each subcontract on or before the earlier to occur of: (a) such subcontractors beginning work on this Contract, or, (b) within thirty (30) days of the State's approval of the subcontract.

The Contractor may only substitute another subcontractor for a subcontractor previously approved by the State at the discretion of the State and with the State's prior, written approval.

Notwithstanding any State approval relating to subcontracts, the Contractor shall be the prime contractor and shall be responsible for all work under the Contract.

- A.22.3 Key Personnel Requirements. For purposes of this Contract, the term "Key Personnel" refers to Contractor personnel deemed by the State to be essential to the Contractor's satisfactory performance of the requirements contained in this Contract. Contract Section A.22.15 contains the required Key Project Personnel positions, corresponding roles and responsibilities and minimum qualifications for each.
- A.22.3.1 All Key Personnel shall be employed by the Contractor and be present full-time at either the Contractor's offices described in Section A.23 below or at HCFA's offices in Nashville, Tennessee from their start date throughout the project. Changes to this arrangement must receive prior approval from the State.
- A.22.3.2 The Contractor shall obtain written prior State approval of all Key Personnel. Resumes for Key Personnel must be provided for State review at least thirty (30) days prior to the expected employee's start date. The State may require in-person interviews with these individuals prior to the employee's start date. The same person may be able to fill a different position in different Gate Reviews. The State



will consider suggestions for alternative alignment of duties. Changes to the proposed positions, staff and responsibilities will only be allowed with prior written permission from the State.

- A.22.3.3 If the Contractor's methodology deems an additional Key Personnel position(s) necessary, beyond the positions listed in the table below, the Contractor must identify these positions and provide a complete description of how these positions support the fulfillment of the Contract scope of work. All Contractor Key Personnel must be formally committed to join the project by the beginning of the Project Start Date.
- A.22.3.4 If any Contractor staff members are not employees of the Contractor, the Contractor is required to identify those personnel, provide the State with agreements establishing their subcontract and the Contractor must receive approval of that subcontract with the State.
- A.22.3.5 References for Key Personnel shall meet the following requirements:
- A.22.3.5.1 Must include a minimum of three (3) professional references outside the employee's current employer who can provide information about the key person's work on relevant past assignments;
 - A.22.3.5.2 Must include the reference's full name, mailing address, telephone number and e-mail address;
 - A.22.3.5.3 For any client contact listed as a reference, must also include the agency's or company's full name with the current telephone number and e-mail address of the client's responsible project administrator or service official who is directly familiar with the key person's performance;
 - A.22.3.5.4 Must reflect the key person's professional experience within the past five (5) years; and
 - A.22.3.5.5 Must include all professional certifications and affiliations.
- A.22.3.6 Key Personnel resumes shall include the following information:
- A.22.3.6.1 Employment history for all relevant and related experience
 - A.22.3.6.2 Names of employers for the past five (5) years, including specific dates
 - A.22.3.6.3 All educational institutions attended and degrees obtained
- A.22.4 Key Personnel Replacements. The State retains the right to approve or disapprove proposed Key Personnel staffing and reserves the right to require the Contractor to replace specified staff. The Contractor agrees to substitute, with the State's prior approval, any such employee so replaced with an employee of equal or better qualifications. The Contractor shall provide an interim resource within five (5) business days for any Key Personnel vacancies regardless of the reason for the vacancy. The Contractor agrees to propose within thirty (30) days, and appropriately staff within forty-five (45) days, any changes made to Key Project Personnel, regardless of the reason for the change. In the event it becomes necessary to replace Key Personnel during the term of this Contract, the Contractor shall:



- A.22.4.1 Provide the State Program Director with written notification of such replacement, providing, when possible, for a two (2) week period for knowledge transfer from the Key Personnel to the replacement personnel. This knowledge transfer shall be provided at no charge to the State;
- A.22.4.2 Provide the State Program Director with documentation describing the circumstances of the need for the replacement;
- A.22.4.3 Provide documentation of experience for the proposed replacement personnel; and
- A.22.4.4 Obtain prior written approval from the State Program Director.
- A.22.4.5 During the first eighteen (18) months of the Contract performance period, no substitutions of Key Personnel shall be permitted unless such substitutions are necessitated by an individual's sudden illness, death, or resignation, or otherwise approved by the State Program Director or requested by the State. In any of these events, the Contractor shall follow the steps outlined above. Failure to meet the prior notice and approval requirements herein may result in the imposition of Liquidated Damages as contained in Section A.22.10.4.

A.22.5 Non Key Personnel Requirements. The Contractor shall ensure that a sufficient number of appropriately qualified and trained personnel are employed and available at all times necessary to perform and carry out the services required under the Contract. Staff proposed for assignments shall be persons that have relevant domain knowledge as appropriate for such job title classifications.

Unless otherwise agreed by the State, the job title classification of individuals assigned to a project shall not change during the project.

In providing the services required under this Contract the Contractor shall provide, at a minimum the Non-Key Personnel identified in Section A.22.16. The quantity of the personnel for each of the positions shall provide an appropriate level of service necessary for the TEDS.

A.22.6 Staffing Management Plan

A.22.7 The Contractor shall develop and adhere to a Staffing Management Plan for conducting the day-to-day management of all resources in support of EMP activities. The Plan shall define the organizational structure, roles, and responsibilities of the personnel, staffing levels, and other resources information. It shall define the criteria and process used to develop staffing estimates and determine staffing qualifications. It shall contain detailed organizational charts. The organization structure must identify Key Personnel by name, title and job function, the percentage of time allocated to the EMP, and whether each position will be filled by a State person, Contractor employee, or other Contractor employees (i.e. TAS or SPMO).

A.22.8 Staffing Needs Planning and Monitoring Processes

A.22.8.1 The Contractor shall provide an overview of the preliminary and ongoing Staff Planning and Monitoring Processes, specifically highlighting processes around planning for future needs and monitoring of project assignments, contract timelines, and associated decisions for release or renewal of personnel.

A.22.9 Staffing Tracker



- A.22.9.1 The Contractor shall develop a Staffing Tracker that summarizes initial and ongoing Solution resource needs and documents resource levels and assignments.
- A.22.9.2 The Contractor shall maintain and update the Staffing Tracker on a regular basis for review, at least once per quarter and more frequently as requested by the State.

A.22.10 Key Personnel Transitions

- A.22.10.1 The Contractor shall develop a Key Personnel Transition Plan, for completion by Key Personnel in the event that they change roles or leave the project. Completed Plans shall identify a replacement for the Key Personnel in question.
- A.22.10.2 The Contractor shall seek prior approval from the State for any replacements to be made in key roles. The Contractor may replace Key Personnel with individuals with comparable experience and qualifications as those submitted by the Contractor in their Response to RFQ 32101-15557 within fifteen (15) business days, pending State approval. The Contractor shall submit resumes and allow the State to interview applicants as part of the approval process, at least five (5) business days before the intended start date.
- A.22.10.3 The Contractor shall provide an interim resource within five (5) business days for any Key Personnel vacancies regardless of the reason for the vacancy.
- A.22.10.4 Staffing Liquidated Damages. Failure by the Contractor to meet the timeframes for staffing vacancies and replacements as set forth in Sections A.22.4 and A.22.3, or any staffing timeframe contained in a CM as specified in A.22.1.2, may, at the State's sole discretion, result in Liquidated Damages in the amount of five hundred dollars (\$500) per business day until Contractor complies with the stated timeframe.
- A.22.10.5 The Contractor shall maintain a sufficient quantity of staff composed of Project Managers, Business Analyst, Programmer Analyst, and Testers necessary to accommodate enhancements during Operations and Maintenance (O&M).

A.22.11 Managing Staffing Changes

- A.22.11.1 The Contractor shall provide an overview of the key steps required in order to acquire, onboard, and off-board staff.
- A.22.11.2 The Contractor shall provide guidance on the necessary steps to make staffing assignment changes. The Contractor shall also define procedures for Key Personnel transitions.
- A.22.11.3 The Contractor shall develop the following documents for managing staffing changes and use the documents in the processes as detailed in the table below:

Table 2: Documents

Form	Onboarding	Role Transitions	Off-Boarding
Onboarding Checklist	X		
Onboarding Arrival Packet	X		
Acceptable Use Policy and Information Protection Plan	X		



Form	Onboarding	Role Transitions	Off-Boarding
Roll-On Form	X	X	
Team Member Transition Plan		X	
Roll-Off Form			X
Off-Boarding Checklist			X

- A.22.11.4 The Contractor shall develop an Onboarding Checklist to assist in onboarding new resources. The Onboarding Checklist shall provide the new employee with an orientation to the EMP and relevant State and Federal regulations and policies. Additionally, the Checklist shall ensure that administrative items such as building access and equipment distribution are appropriately handled.
- A.22.11.5 The Contractor shall develop a Team Member Transition Plan to be completed by Contractor resources when assignments change within the project organization.
- A.22.11.6 The Contractor shall submit all completed plans to the SPMO for review and validation.
- A.22.11.7 The Contractor shall provide at least two (2) weeks' notice before resource roll-off.

A.22.12 Turnover Stage Staffing

- A.22.12.1 The Contractor shall provide a full-time turnover manager as a designated point person to interact with the State and successor contractor until Contract closeout is completed.
- A.22.12.2 The Contractor shall provide and retain sufficient turnover staff in the required mix, inclusive of technical (e.g. systems analysts, technicians) and non-technical (e.g. clerical staff, business analysts) resources to complete the services and meet the requirements specified in the Contract.
- A.22.12.3 The Contractor shall include in the Staffing Management Plan staffing for operations during the Turnover Stage.
- A.22.12.4 The Contractor shall acquire State approval for Key Personnel appointments and replacements.
- A.22.12.5 The Contractor shall provide unrestricted access to appropriate Contractor personnel for discussion of problems or concerns.
- A.22.12.6 The Contractor shall provide, at minimum, a two (2) week overlap transition period for all Key Personnel transitions. During this time the successor shall be trained on all transferred activities to ensure continuity.

A.22.13 Off-Boarding

- A.22.13.1 The Contractor shall complete the Off-Boarding Checklist, one (1) week prior to resource departure, with assistance from the work stream lead and the team member rolling off.
- A.22.13.2 The Contractor shall provide prior notification, in the event of resource departure, with appropriate forms to the State's Access Management team and appropriate State management staff, in advance of termination if known or immediately after the employee submits their resignation.



A.22.14 CMS Certification

- A.22.14.1 The Contractor shall provide a sufficient quantity of staff necessary to support the enhanced efforts to monitor, identify, and address initial production issues and plan, prepare, execute, and achieve CMS certification.
- A.22.14.2 The Contractor shall provide a Certification Manager to interact in tandem with the State and the IV&V Contractor.
- A.22.14.3 The Contractor shall provide a State-approved team of resources to monitor, track, and correct identified issues.
- A.22.14.4 The Contractor shall provide a State-approved team of dedicated resources for preparation and support of CMS certification.



4.22.15 Key Personnel Table

Table 3: Key Personnel Table

Key Position	Description	Qualifications	Requirements
Account Executive or Program Executive	a) Shall serve as the onsite program executive for the Contractor	<ul style="list-style-type: none"> a) A minimum of eight (8) years of experience in managing and leading a large-scale or enterprise-wide health care IT systems contract or project that encompasses a full SDLC from initiation through post implementation and includes Operations and Maintenance. b) A minimum of five (5) years of experience serving in an account management or client representative position. c) Subject matter expertise on State and Federal Medicaid regulations and policies. d) Previous experience with cost reporting, profit and loss statements, and budget compliance. e) Previous responsibility for managing subcontractor resources, if subcontractors are included as part of the Contractor's Response to RFQ 32101-15557. f) Previous experience following a standard project management methodology and in using various project management tools in developing project plans, delivering tasks, and tracking timelines and resources. g) Broad IT-related experience h) PMI or generally equivalent certification. 	<ul style="list-style-type: none"> a) Shall not serve in any other position. b) Shall be one hundred percent (100%) allocated to the project through Implementation. c) Shall be onsite ninety percent (90%) percent of the time. d) Shall be available as needed post Go-Live.
DDI Manager	a) Responsible for the Design, Development, and Implementation of eligibility Solution	<ul style="list-style-type: none"> a) A minimum of ten (10) years of experience implementing and integrating large-scale health care IT solutions within environments similar to that of the TEDS. b) Subject matter expertise on State and Federal Medicaid regulations and policies. c) Previous experience following the Contractor's development methodology and in using various project management tools in developing project plans, delivering tasks, and tracking timelines and resources. 	<ul style="list-style-type: none"> a) Shall not serve in any other position. b) Shall be one hundred percent (100%) allocated to the project through Implementation. c) Shall be onsite ninety percent (90%) of the time. d) Shall be available as needed post Go-Live.



Position	Description	Qualifications	Requirements
Technical Solution Lead	a) Shall serve as the project Chief Information Officer (CIO) for the eligibility Solution.	d) Heavy background in IT development, infrastructure, security, and Operations and Maintenance projects. e) Relevant experience and advanced skills with development tools, multiple software languages, and programming best practices. f) PMI certification is preferred. a) A minimum of seven (7) years of experience implementing large-scale health care IT solutions within environments similar to that of the TEDS. b) Possess expert knowledge of the Contractor's Solution, having implemented the Solution in no less than one (1) environment at least as complex as the TEDS. c) Possess extensive experience developing solutions utilizing an integrated development environment, multi-tier platforms and employing SOA architecture with high availability/reliability requirements. d) Must be proficient in multiple languages, SOA technologies, operating systems and security best practices.	a) Shall not serve in any other position. b) Shall be one hundred percent (100%) allocated to the project through Implementation. c) Shall be onsite ninety percent (90%) of the time d) Shall be available as needed post Go-Live.
Business Solution Lead	a) Shall serve as the project Chief Operations Officer for the eligibility Solution.	a) A minimum of seven (7) years of experience implementing large-scale health care IT solutions within environments similar to that of the TEDS b) Possess five (5) years of experience extracting and documenting business rules c) Possess a working knowledge of business process modeling d) Possess expert knowledge of the Contractor's Solution, having implemented the Solution in no less than one (1) environment at least as complex as the TEDS e) Possess expert knowledge of national policy and standards that impact the Medicaid environment.	a) Shall not serve in any other position. b) Shall be one hundred percent (100%) allocated to the project through Implementation. c) Shall be onsite ninety percent (90%) of the time. d) Shall be available as needed post Go-Live.



Position	Description	Qualifications	Requirements
Quality Assurance/Control	<ul style="list-style-type: none"> a) Shall serve as the project QA Manager for the eligibility Solution b) Responsible for EMP quality control 	<ul style="list-style-type: none"> a) Possess a minimum of five (5) years of experience developing and executing quality assurance/control programs for solutions similar to the Contractor's Solution for the TEDS b) Previous experience serving in a Quality Control Manager or Lead position. c) Possess a working knowledge of the Contractor's Solution for the TEDS. d) Previous experience leading large scale or enterprise-wide testing rollouts and deployments. e) Possess a working knowledge of business processes associated with the TEDS. f) Must have general knowledge with multiple programming languages, SOA technologies, operating systems and security best practices. 	<ul style="list-style-type: none"> a) Shall not serve in any other position. b) Shall be one hundred percent (100%) allocated to the project through Implementation. c) Shall be onsite ninety percent (90%) of the time. d) Shall be available as needed post Go-Live.
OCMT Liaison	<ul style="list-style-type: none"> a) Working closely with State designated team to make sure deliverables are met on time and on budget b) Coordinate and Manage instructional design staff c) Liaison between parties to address obstacles and ensure time access to all required systems d) Adherence to project plan e) Working with State Project OCMT Team to support the development of relevant materials and timely deliverable of all training requests f) Facilitate working relationship with State OCMT Team and SME's g) Facilitate working sessions between State OCMT Team and SME's to conduct knowledge sharing sessions 	<ul style="list-style-type: none"> a) Possess a minimum of five (5) years of experience developing and executing training programs for solutions similar to Contractor's Solution for the TEDS. b) Possess a working knowledge of document management practices and principles. c) Possess a working knowledge of the Contractor's Solution for the TEDS. d) Possess a working knowledge of business processes associated with the TEDS. e) Previous experience working with document management platforms to include document version control and management workflow 	<ul style="list-style-type: none"> a) Shall not serve in any other position. b) Shall be on-site for all training activities.



Position	Description	Qualifications	Requirements
	h) Facilitate working sessions between State OCMT Team and SI's technical groups for collaboration and knowledge sharing		
Project Management Office (PMO) Manager	<ul style="list-style-type: none"> a) Shall serve as the Contractor liaison to the SPMO and TAS Contractors. b) Responsible for project's PMO. 	<ul style="list-style-type: none"> a) A minimum of five (5) years of experience developing and managing a PMO for a large scale or enterprise-wide health care IT systems contract or implementation. b) A minimum of ten (10) years of experience managing IT systems programs and/or projects. c) Must be PMI certified. 	<ul style="list-style-type: none"> a) Shall be allocated one hundred percent (100%) to the project through implementation.
Infrastructure Architect	<ul style="list-style-type: none"> a) Responsible for defining and documenting network, security, server, SOA and the OS specifications for the Solution. b) Shall ensure that policies, standards, and procedures related to infrastructure are established, communicated, and enforced c) Shall work closely with the HCFA IS Architect and STS to translate the infrastructure architecture for the Solution into build standard STS build specifications. 	<ul style="list-style-type: none"> a) Possess a minimum of five (5) years of IT infrastructure management experience with a strong preference towards healthcare environments. b) Possess a minimum of three (3) years of experience managing projects of similar size and complexity. c) Must have advanced knowledge working with multiple programming languages, SOA technologies, operating systems and security best practices. d) Expert understanding of OS(s) that Solution is running on e) Strong understanding of VMWare f) Solid understanding of Load Balancing (F5 LTM & GTM preferred) g) Solid understanding of Internet access using a DMZ for things such as, but not limited to: proxies, web servers, firewalls, DNS and Certificates h) Knowledge of complex network routing i) Familiarity of DBMS used for Solution j) Solid knowledge regarding Storage Area Networks (Preferably Hitachi). 	<ul style="list-style-type: none"> a) Shall not service in any other position. b) Shall be one hundred percent (100%) allocated to the project through Implementation. c) Shall be onsite ninety percent (90%) of the time. d) Shall be allocated 75% through subsequent deployments of DDI. e) Shall be available as needed post Go-Live.
Configuration & Assets Manager	<ul style="list-style-type: none"> a) Service Assets Management b) Configuration Items Management c) Product Currency Management 	<ul style="list-style-type: none"> a) Minimum of five (5) years' experience in a configuration and assets manager role for a large scale, mission critical environment 	<ul style="list-style-type: none"> a) Shall be one hundred percent (100%) allocated to the project through O&M.



Position	Description	Qualifications	Requirements
	<ul style="list-style-type: none"> d) License Management e) CMDB Implementation & Management 	<ul style="list-style-type: none"> b) Possess knowledge of working with multiple programming languages, SOA technologies, operating systems and security best practices c) Possess ITIL certification 	<ul style="list-style-type: none"> b) Shall be onsite ninety percent (90%) percent of the time
Service Desk, Production Control & Operations Center Manager	<ul style="list-style-type: none"> a) Shall serve as the project Operations Manager for the eligibility Solution b) Shall have the responsibility for monitoring and support of the Solution. c) Shall prepare the daily/monthly Operations Report. d) Manage staff 7/24/365 and ensure reliability and availability for multiple system platforms including infrastructure, databases, backups, trouble shooting, problem resolution, escalation, and notification. e) Schedule and coordinate batch jobs, system installs, upgrades and outages. f) Establish priority problem resolution, notification and escalation to appropriate support personnel to meet schedules and Service Level Agreements g) Monitor and administer support and services for all Production Control, Service desk, and operations activities including perform all batch scheduling, production activities, printing, and print distribution. h) Provide application, hardware, network, schedule support and system monitoring for the Solution. 	<ul style="list-style-type: none"> a) Possess a minimum of five (5) years' experience managing Production Control/Operations management of a 24/7/365 environment on large-scale health care programs and solutions similar to the environments and scale of the TEDS. b) Possess (5) years' experience in managing networks, servers, batch scheduling, console activities, service desk management, and security similar to the technical architecture for the TEDS. c) Must have advanced knowledge working with output management, print, console operations, system administration, operating systems, production control scheduling, technical writing, and security best practices 	<ul style="list-style-type: none"> a) Shall be allocated one hundred percent (100%) to the project beginning from UAT through ongoing operations b) Shall be on site one hundred percent (100%) of the time



Position	Description	Qualifications	Requirements
Security Manager	<p>i) Shall be responsible for the development and maintenance of the SOP manual.</p> <p>a) Responsible for managing the implementation and development of IT security over the course of the project.</p> <p>b) Shall ensure that security policies, standards, and procedures are established and enforced.</p> <p>c) Shall coordinate information security inspections, tests, and reviews and oversee the security team.</p> <p>d) Responsible for coordination and compliance activities relative to the project including, but not limited to, MARS-E, Fortify reporting, audit, SSR, etc.</p>	<p>a) Possess a minimum of five (5) years IT security industry experience with at least three (3) years in a healthcare related environment.</p> <p>b) Possess a minimum of three (3) years of experience managing projects of similar size and complexity to the EMP.</p> <p>c) Possess a Certified Information Systems Security Professional (CISSP), Certified Information Security Manager (CISM), or equivalent security certification (e.g., GIAC (Global Information Assurance Certification) Security Expert, Certified Ethical Hacker, GIAC Certified Incident Hacker, GIAC Web Application Penetration Tester, GIAC Penetration Tester)</p> <p>d) Possess a Bachelor's Degree in an IT-related field OR four (4) years of industry experience in addition to the general requirement for five (5) years of security experience.</p> <p>e) Must be familiar with at least one major security compliance framework and be able to demonstrate a firm understanding of relevant State and Federal security/privacy regulations and policies, specifically under NIST, HIPAA, and IRS Pub. 1075</p> <p>f) Must have excellent communications skills, technical writing skills, small group facilitation skills, and formal presentation skills.</p>	<p>a) Shall not serve in any other position.</p> <p>b) Shall be one hundred percent (100%) allocated to the project through O&M.</p> <p>c) Shall be onsite ninety percent (90%) percent of the time.</p>
CIP Manager	<p>a) Shall collect data, compile, and report on KPIs and SLAs.</p> <p>b) Responsible for managing the customer expectations and all CIP functions.</p> <p>c) Gather and analyze metrics to accurately reflect schedule</p>	<p>a) A minimum of eight (8) years of experience in managing large scale or enterprise-wide technology projects. Must have broad experience managing IT systems contracts, SLAs, KPIs, and process improvement programs.</p> <p>b) Must have working experience with system design and capacity planning.</p>	<p>a) Shall not serve in any other position.</p> <p>b) Shall be one hundred percent (100%) allocated to the project through O&M.</p>



Position	Description	Qualifications	Requirements
	performance relative to established SLAs.	<ul style="list-style-type: none"> c) A minimum of five (5) years of experience serving in an IT management position in a technical area. d) Subject matter expertise on system design, system build, and O&M. e) Previous experience with ITIL and other operating frameworks. f) Must have relevant IT experience with all technical aspects of the Solution. 	<ul style="list-style-type: none"> c) Shall be onsite ninety percent (90%) percent of the time. d) Shall be available as needed post Go-Live.
Database Architect	<ul style="list-style-type: none"> a) Responsible for designing, developing, and implementing infrastructure to provide highly-complex, reliable, and scalable databases to meet the organization's objectives and requirements. b) Shall assist in defining system and application architecture and provide vision, problem anticipation, and problem solving ability. 	<ul style="list-style-type: none"> a) A minimum of five (5) years' experience developing and implementing one or more industry standard database systems. b) Capable of hands-on work in all phases of database design and management c) Significant experience managing operational databases including handling complex migrations with mission critical applications d) Extensive experience dealing with sensitive data, and health care industry standards and regulations e) Experience with technical requirements for data classification and implementing data protection technologies. f) Must be knowledgeable of secure coding practices for databases. 	<ul style="list-style-type: none"> a) Shall not serve in any other position. b) Shall be one hundred percent (100%) allocated to the project through Implementation. c) Shall be onsite ninety percent (90%) percent of the time. d) Shall be available as needed post Go-Live.
Conversion Manager	<ul style="list-style-type: none"> e) Oversees the conversion of legacy data into the EMS database. f) Coordinates and manages Conversion staff and tasks. g) Works with all appropriate staff to coordinate conversion efforts. 	<ul style="list-style-type: none"> a) Minimum of five (5) years' experience managing complex conversion projects from disparate legacy databases into different data models. b) Must have experience with the Contractor's chosen ETL/Conversion toolset (at least two (2) prior conversions). c) Experience with managing and documenting conversion efforts and staff. 	<ul style="list-style-type: none"> a) Shall not serve in any other position. b) Shall be one hundred percent (100%) allocated to the project through Implementation. c) Shall be onsite ninety percent (90%) percent of the time. d) Shall be available as needed post Go-Live
Application Architect	<ul style="list-style-type: none"> a) Shall provide application architecture and design recommendations based on existing State standards. 	<ul style="list-style-type: none"> a) A minimum of five (5) years of experience building and supporting mission critical, multi-tier large scale health care applications. 	<ul style="list-style-type: none"> a) Shall not serve in any other position. b) Shall be one hundred percent (100%) allocated to



Position	Description	Qualifications	Requirements
		<ul style="list-style-type: none"> b) Shall be knowledgeable of secure coding practices. c) Experience with technical requirements for data classifications and implementing data protection technologies. d) Must possess extensive experience developing solutions utilizing an integrated development environment, multi-tier platforms and employing SOA architecture with high availability/reliability requirements. e) Must be proficient in multiple languages, SOA technologies, operating systems and security best practices. 	<ul style="list-style-type: none"> the project through Implementation. c) Shall be onsite ninety percent (90%) percent of the time. d) Shall be available as needed post Go-Live.
SOA Architect	<ul style="list-style-type: none"> a) Shall design and implement the integration between the TEDS and other State standard COTS software b) Shall use the latest SOA technologies and Web Services frameworks 	<ul style="list-style-type: none"> a) Experience with Oracle Service Bus and Business Process Execution Language service development – Web Services, SOAP, Web Service Description Language, XML, Extensible Stylesheet Language Transformations, XML Path Language, Hyper Text Markup Language, and Universal Description, Discovery, and Integration b) Knowledge includes advanced work on standard applications programs including coding, testing, and debugging c) Strong knowledge of the object-oriented analysis and design patterns/techniques d) Extensive experience with web applications. e) Must possess extensive experience developing solutions utilizing an integrated development environment, multi-tier platforms and employing SOA architecture with high availability/reliability requirements. f) Must be proficient in multiple languages, SOA technologies, operating systems and security best practices. 	<ul style="list-style-type: none"> a) Shall not serve in any other position. b) Shall be one hundred percent (100%) allocated to the project through Implementation. c) Shall be onsite ninety percent (90%) percent of the time. d) Shall be available as needed post Go-Live.

A.22.16 Non-Key Personnel Table



	Description	Qualifications	Requirements
al 1 ct	<ul style="list-style-type: none"> a) Enterprise Architecture b) Build book planning and design c) Demand Management d) Availability Planning e) Capacity Planning f) Security & Privacy compliance 	<ul style="list-style-type: none"> a) A minimum of five (5) years' experience implementing large-scale health care IT solutions within environments similar to that of the TEDS b) Experience implementing data warehouse solutions within an integrated environment and employing SOA and intelligent business reporting. c) Must possess extensive experience developing solutions utilizing an integrated development environment, multi-tier platforms and employing SOA architecture with high availability/reliability requirements. d) Must be proficient in multiple languages, SOA technologies, operating systems and security best practices. 	<ul style="list-style-type: none"> a) Shall not serve in any other position. b) Shall be one hundred percent (100%) allocated to the project through Implementation. c) Shall be onsite ninety percent (90%) of the time. d) Shall be available as needed post Go-Live.
Technical Specialist Application and Web Platforms	<ul style="list-style-type: none"> a) Platform support including troubleshooting, contributing to root cause analysis, and problem resolution b) Identifying and assessing risks, determining impact to platform and mitigation plans 	<ul style="list-style-type: none"> a) Minimum of five (5) years' experience with Web technologies and tools b) Strong Systems Administration skills c) Web hosting, caching and proxy software and related technologies d) Extensive knowledge of Web Application and Operating System security 	<ul style="list-style-type: none"> a) Shall not serve in any other position. b) Shall be allocated one hundred percent (100%) to the project through Implementation. c) Shall be on site ninety percent (90%) of the time. d) Shall be available as needed post Go-Live.
Database Administrator	<ul style="list-style-type: none"> a) Shall recommend solutions by defining database physical structure and functional capabilities, database security, data back-up, and recovery specifications. b) Shall maintain database performance by calculating optimum values for database parameters, implementing new releases, completing maintenance requirements, and evaluating computer operating systems and hardware products. 	<ul style="list-style-type: none"> a) Minimum of five (5) years' experience managing a complex RDBMS environment on a UNIX platform with multiple environments (development, test, production, etc.) b) Broad knowledge of database administration tool sets. c) Experience with database software installation, upgrades, management, troubleshooting, design, support (including backups and recovery), data migration techniques and database security d) Extensive experience using and tuning SQL e) Experience with database conversions from disparate systems(s). 	<ul style="list-style-type: none"> a) Shall be one hundred percent (100%) allocated to the project through O&M. b) Shall be onsite one hundred percent (100%) of the time.



	Description	Qualifications	Requirements
	c) Responsible for maintaining separation of duties as required by security industry standards.		
Conversion Architect/Programmer	<ul style="list-style-type: none"> a) Designs, programs, tests, and tunes the conversion code to move data from multiple database environments into the Contractor Solution. b) Ensures converted data maintains integrity, accuracy and meets performance expectations. 	<ul style="list-style-type: none"> a) Minimum of five (5) years' experience designing, programming, administering and tuning complex conversions that move data from multiple disparate legacy databases into separate/different data models b) Must have hands on experience with the Contractor's chosen ETL/Conversion toolset (at least two (2) prior conversions) c) Experience with writing, testing, configuring and tuning conversion code 	<ul style="list-style-type: none"> a) Shall not serve in any other position. b) Shall be one hundred percent (100%) allocated to the project through Implementation. c) Shall be onsite ninety percent (90%) percent of the time. d) Shall be available as needed post Go-Live
Interface Lead	<ul style="list-style-type: none"> a) Shall serve as the project Interface lead for the eligibility Solution 	<ul style="list-style-type: none"> a) Possess a minimum of five (5) years of experience developing and deploying interfaces for systems similar to Contractor's Solution b) Possess a minimum of five (5) years of experience performing data warehouse, data cleansing, or data conversion activities for systems similar to the Contractor's Solution. c) Possess extensive experience supporting multi-tier platforms that employ SOA. d) Shall be familiar with multiple languages, SOA technologies, operating systems, and security industry standards. e) Possess a minimum of three (3) years of experience managing a data conversion or interface design project similar to the needs of the TEDS. f) Possess excellent written and oral communications skills. g) A Bachelor's Degree in IT or a related field is preferred but not required. 	<ul style="list-style-type: none"> a) Shall not serve in any other position. b) Shall be one hundred percent (100%) allocated to the project through Implementation. c) Shall be onsite ninety percent (90%) of the time. d) Shall be available as needed post Go-Live.
Web Portal Specialists	<ul style="list-style-type: none"> a) Web portal systems administrator b) Proactively monitor and maintain Web Portal environments ensuring high performance, 	<ul style="list-style-type: none"> a) Minimum of five (5) years of experience administrating web portal services in a large-scale IT environment b) Extensive experience with industry standard web tools 	<ul style="list-style-type: none"> a) Shall not serve in any other position. b) Shall be allocated one hundred percent (100%) to



	Description	Qualifications	Requirements
	security, and quick issue resolution	c) Strong analytical and problem solving skills	the project through Implementation. c) Shall be on site ninety percent (90%) of the time. d) Shall be available as needed post Go-Live.
Senior (Web) Programmer Analyst	a) Assist staff with the analysis of functional business applications, design specifications, and application development. b) Translates detailed designs into computer software c) Tests, debugs, and refines the computer software to produce the required product	a) Minimum of eight (8) years' of working experience as a computer specialist or a computer systems analyst b) At least five (5) years' of experience as a Computer Systems Analysts c) Minimum of five (5) years' experience implementing and maintaining web portals d) Web application development using industry standard tools	a) Shall not serve in any other position. b) Shall be allocated one hundred percent (100%) to the project through Implementation. c) Shall be on site ninety percent (90%) of the time. d) Shall be available as needed post Go-Live.
Performance Analyst/Capacity Planning Analyst	a) Shall develop performance test strategies/methodologies, scripting, and effective execution of the performance strategy. b) Shall perform troubleshooting and analysis to ensure business requirements are met. c) Shall manage, control, and predict the performance, utilization, and capacity of all LAN/WAN network resources and individual network, application, and system components to ensure service level targets are met. d) Shall be responsible for assisting with the development and maintenance of the SOP manual.	a) Minimum of three (3) years' experience with performance testing and engineering b) Expert understanding of how application usage patterns and behaviors impact and drive needs for capacity resources	a) Shall not serve in any other position. a) Shall be one hundred percent (100%) allocated to the project through Implementation. b) Shall be onsite ninety percent (90%) of the time. c) Shall be available as needed post Go-Live.
Programmer Analyst	a) Shall develop complex code and scripts for the eligibility Solutions b) Shall assist with design, testing, implementation, and troubleshooting code and scripts throughout the project	a) A minimum of five (5) years' experience as a Programmer Analyst in a healthcare related industry b) Possess advanced developmental and problem solving skills to support complex application systems and interfaces for large scale healthcare projects.	a) Shall not serve in any other position. b) Shall be one hundred percent (100%) allocated to the project through Implementation.



	Description	Qualifications	Requirements
	<ul style="list-style-type: none"> c) Shall maintain a high level of technical competence in healthcare d) Shall rely on experience and judgment to plan and accomplish goals while balancing priorities. e) Shall function autonomously for most daily work efforts 	<ul style="list-style-type: none"> c) Working technical knowledge of platforms and programming languages, including .Net, Visual Basic, C#, JavaScript, Windows Presentation Foundation, and Silverlight. d) Excellent understanding of coding methods and best practices. e) Extensive database experience with Microsoft SQL Server and Oracle. f) Knowledge of applicable data privacy practices and laws g) Hands-on experience developing test cases and test plans 	<ul style="list-style-type: none"> c) Shall be onsite ninety percent (90%) of the time. d) Shall be available as needed post Go-Live.
Senior Business Analyst	<ul style="list-style-type: none"> a) Shall author and present business requirements artifacts that inform the SDLC using Enterprise-standard templates and methodologies (RSA) b) Shall analyze, review, forecast, and trend complex data when necessary c) Shall support short and long term operational/strategic business and IT solutions through research and analysis of data and business processes 	<ul style="list-style-type: none"> a) A minimum of five (5) years' experience with a proven record of in-depth knowledge of end-to-end Medicaid eligibility processes b) Able to quickly adjust style and approach to requirements elicitation and communications based on intended audience. c) Experience with the development process for large-scale enterprise applications. d) Experience with general security awareness and processes. e) Possess general IT knowledge. 	<ul style="list-style-type: none"> a) Shall not serve in any other position. b) Shall be one hundred percent (100%) allocated to the project through Implementation. c) Shall be onsite ninety percent (90%) percent of the time d) Shall be available as needed post Go-Live.
Business Analyst	<ul style="list-style-type: none"> a) Shall interface with multiple departments within the State and the Contractor to create and/or translate business requirements into technical specifications, deliver quality services using best practices, resolve issues, and track, report, and analyze delivery and process metrics. b) Support, develop, and organize delivery elements, via requirements documentation, process flows, and user stories. 	<ul style="list-style-type: none"> a) A minimum of three (3) years of experience implementing large scale health care IT solutions within environments similar to that of the TEDS. b) Possess expert knowledge of the Contractor's Solution, having implemented the Solution in no less than one (1) environment at least as complex as the TEDS. c) Possess expert knowledge of State and Federal regulations and policies that impact the Medicaid environment. d) Experience with general security awareness and processes. e) Possess general IT knowledge. 	<ul style="list-style-type: none"> a) Shall not serve in any other position. b) Shall be one hundred percent (100%) allocated to the project through Implementation. c) Shall be onsite ninety percent (90%) percent of the time d) Shall be available as needed post Go-Live.



	Description	Qualifications	Requirements
Analyst	<ul style="list-style-type: none"> a) Responsible for end-to-end process activities throughout the project b) Shall create, control, and improve business processes c) Shall lead process design and project implementation teams d) Shall diagnose process improvement opportunities and develop solutions using a data driven approach e) Shall design and create dashboards, reports, and presentations 	<ul style="list-style-type: none"> a) A minimum of three (3) years' experience in business process management methodology and concepts b) Understanding of operations in healthcare c) Strong technical, analytical, and problem solving skills 	<ul style="list-style-type: none"> a) Shall not serve in any other position. b) Shall be one hundred percent (100%) allocated to the project through Implementation and O&M. c) Shall be onsite ninety percent (90%) of the time. d) Shall be available as needed post Go-Live.
Quality Assurance Test Manager	<ul style="list-style-type: none"> a) Shall oversee compliance for all of the QA testing processes and procedures, for both functional and non-functional requirements b) Shall create and manage the overall strategic direction of the QA testing team and its testing methodologies c) Responsible for the QA testing team's adherence to processes and procedures, as well as any and all Federal (CMS) and State regulations and policies d) Shall oversee all QA testing phases (functional and non-functional) and monitor and confirm accurate execution e) Shall create metric reports and status reports f) Shall represent the QA testing team in executive leadership meetings g) Responsible for the staffing of the QA team h) Responsible for writing and deliver of UAT test scripts to the State Test Team Manager 	<ul style="list-style-type: none"> a) A minimum of five (5) years' experience in test strategy development, requirements traceability and design specifications, test planning, test case design, integration testing, manual and automated testing, development of defect tracking workflow methodology b) Experience in development of test estimation and staffing requirements. c) Possess extensive experience developing testing solutions in a multi-tier platform SOA environment with high availability/reliability requirements. d) Must be proficient in functional and non-functional test management. e) Experience in managing QA testing staff of ten (10) or more employees. f) Experience in software testing within an agile development methodology 	<ul style="list-style-type: none"> a) Shall be one hundred percent (100%) allocated to the project through O&M. b) Shall be onsite ninety percent (90%) of the time



	Description	Qualifications	Requirements
QA Analyst 3 – Leads	i) Shall be responsible for assisting with the development and maintenance of the SOP manual.		
	a) Shall receive strategic and tactical guidance from the Test Manager b) Shall implement strategic planning while overseeing daily tactical QA execution c) Shall review and approve requirements. d) Shall create formal test plan documentation based upon requirements and technical design specifications e) Shall confirm technical design specifications' traceability to business requirements. f) Shall serve as liaison to Business Analyst for the QA test team. g) Shall perform sample reviews of test cases and periodically review results of test case execution for accuracy and adherence to policy and procedures. h) Monitor and review all performance test results. i) Shall be responsible for assisting with the development and maintenance of the SOP manual.	a) A minimum of three (3) years' experience in Quality Assurance, preferably in Health Care or with Medicaid Eligibility Determination b) Capability to implement strategic planning while overseeing daily tactical QA execution c) Experience in requirement review and approval, as well as in testable model analysis d) Experience in review and approval of high-level test scenarios e) Experience in interpretation of requirement and technical design specifications to create formal test plans. f) Capability to interpret technical design specifications in order to clearly communicate with development staff.	a) Shall not serve in any other position. b) Shall be one hundred percent (100%) allocated to the project through Implementation and O&M. c) Shall be onsite ninety percent (90%) of the time d) Shall be available as needed post Go-Live.
QA Analyst 2	a) Shall create test cases based on requirements and assure requirements traceability to test cases. b) Shall peer review test cases. c) Shall perform sample reviews of test cases and periodically review results of test case execution for accuracy and	a) A minimum of three (3) years' experience creating and executing test cases based on requirements. b) A minimum of two (2) years' experience of performance and automation testing. c) Experience with peer reviewing test cases d) Capability to review test case expected results for accuracy in adherence to policy and procedures	a) Shall not serve in any other position. b) Shall be one hundred percent (100%) allocated to the project through Implementation and O&M. c) Shall be onsite ninety percent (90%) of the time.



	Description	Qualifications	Requirements
	<p>adherence to policy and procedures.</p> <p>d) Shall assure the capture and retention of testing artifacts for audit purposes.</p> <p>e) Shall create test cases and perform performance testing.</p> <p>f) Shall create and execute automated tests.</p> <p>g) Shall be responsible for assisting with the development and maintenance of the SOP manual.</p>	<p>e) Capability to confirm expected results adhere to requirements intent</p> <p>f) Experience in process and procedure for auditing purposes</p>	<p>d) Shall be available as needed post Go-Live.</p>
QA Analyst 1	<p>a) Shall create test cases based on requirements with assistance of the QA Analyst 2</p> <p>b) Shall assure requirements traceability to test cases</p> <p>c) Shall execute test cases</p> <p>d) Shall verify capture and retention of testing artifacts for audit purposes.</p> <p>e) Shall be responsible for assisting with the development and maintenance of the SOP manual.</p>	<p>a) A minimum of 1 year of experience</p> <p>b) Capable of creating test cases with minimal assistance</p> <p>c) Experience in executing test cases and validating and verifying results</p> <p>d) Experience in capturing test artifacts for auditing purposes</p>	<p>a) Shall not serve in any other position.</p> <p>b) Shall be one hundred percent (100%) allocated to the project through Implementation and O&M.</p> <p>c) Shall be onsite ninety percent (90%) of the time.</p> <p>d) Shall be available as needed post Go-Live.</p>
Change Manager	<p>a) Shall work with the State and HCFA Technical Change Control Board to ensure that IT changes are recorded and then evaluated, authorized, prioritized, planned, tested, implemented, documented, and reviewed in a controlled manner</p> <p>b) Shall be responsible for assisting with the development and maintenance of the SOP manual.</p>	<p>a) A minimum of five (5) years' experience as a Change Manager</p> <p>b) Experience leading Technical Change Control meetings</p> <p>c) Extensive knowledge of ITIL principals</p> <p>d) High level of IT literacy</p> <p>e) Superior attention to detail and methodical approach</p> <p>f) Excellent written and verbal communication at all organizational levels</p>	<p>a) Shall be one hundred percent (100%) allocated to the project through Implementation and O&M.</p> <p>b) Shall be onsite ninety percent (90%) of the time</p>
Service Architect	<p>a) Responsible for assessing and designing complex solutions to meet the State's technology and business needs</p> <p>b) Shall manage project teams that consult with the State to analyze</p>	<p>a) A minimum of three (3) years' experience</p> <p>b) Demonstrated capabilities in leading technical projects with large, enterprise organizations</p> <p>c) Proven ability to provide a high level of capability with respect to service</p>	<p>a) Shall be one hundred percent (100%) allocated to the project through Implementation and O&M.</p> <p>b) Shall be onsite ninety percent (90%) of the time</p>



	Description	Qualifications	Requirements
	<p>and identify technical requirements</p> <p>c) Shall manage requirements and project scope while meeting State expectations</p> <p>d) Shall provide level of effort estimates for deliverables, project sizing, and generating proposals</p>	<p>management, IT Service Management toolsets, service architecture, and business services</p>	
<p>IT Service Continuity Analyst</p>	<p>a) BC/DR Planning</p> <p>b) Risk Management</p> <p>c) Recovery Exercises</p>	<p>a) A minimum of five (5) years' experience in a service continuity role.</p> <p>b) Experience in a large-scale mission critical environment.</p> <p>c) Must possess general knowledge with solutions utilizing an integrated development environment, multi-tier platforms and employing SOA architecture with high availability/reliability requirements.</p> <p>d) Must be proficient in multiple languages, SOA technologies, operating systems and security best practices.</p>	<p>a) Shall not serve in any other position.</p> <p>b) Shall be one hundred percent (100%) allocated to the project through Implementation.</p> <p>c) Shall be onsite ninety percent (90%) of the time.</p> <p>d) Shall be available as needed post Go-Live.</p>
<p>Senior Operations Analyst (Service Desk)</p>	<p>a) Monitor 7/24/365 and ensure reliability and availability for multiple system platforms including infrastructure, databases, backups, trouble shooting, problem resolution, escalation, and notification.</p> <p>b) Schedule and coordinate system installs, upgrades and outages.</p> <p>c) Establish priority problem resolution, notification and escalation to appropriate support personnel.</p> <p>d) Monitor and administer support and services for all Production Control, Service desk, and operations activities including perform all batch scheduling, production activities, printing, and print distribution.</p>	<p>a) A minimum of three (3) years' experience in an operational or help desk position</p> <p>b) Excellent problem solving skills</p> <p>c) Excellent job scheduling activities</p> <p>d) Quality focus</p> <p>e) Experience with process improvement</p> <p>f) Ability to establish good client relationships</p> <p>g) Reporting skills</p> <p>h) Shall possess advance skills in batch scheduling activities</p> <p>i) Shall have extensive experience with operating systems and system administration</p> <p>j) Understanding of networking concepts and IT knowledge</p>	<p>a) Shall not serve in any other position.</p> <p>b) Shall be one hundred percent (100%) allocated to the project through O&M.</p> <p>c) Shall be onsite ninety percent (90%) of the time.</p>



	Description	Qualifications	Requirements
	<ul style="list-style-type: none"> e) Setup, coordinate, and execute production batch schedules using automated job scheduling f) Analyze the production cycle and corresponding output to identify issues g) Communicate with internal teams and external customers to resolve issues h) Ensure accurate and timely transmission of secure data files to/from business partners via FTP and Contractor interface management\ i) Shall be responsible for assisting with the development and maintenance of the SOP manual 		
Operations Analyst (Service Desk)	<ul style="list-style-type: none"> a) Monitor 7/24/365 and ensure reliability and availability for multiple system platforms including infrastructure, databases, backups, trouble shooting, problem resolution, escalation, and notification. b) Schedule and coordinate system installs, upgrades and outages. c) Establish priority problem resolution, notification and escalation to appropriate support personnel. d) Monitor and administer support and services for all Production Control, Service desk, and operations activities including perform all batch scheduling, production activities, printing, and print distribution. e) Setup, coordinate, and execute production batch schedules using automated job scheduling 	<ul style="list-style-type: none"> a) A minimum of two (2) years' experience in an operational or help desk position b) Excellent problem solving skills c) Quality focus d) Experience with process improvement e) Ability to establish good client relationships f) Reporting skills g) Shall possess advance skills in batch scheduling activities h) Understanding of networking concepts and IT knowledge 	<ul style="list-style-type: none"> a) Shall not serve in any other position. b) Shall be one hundred percent (100%) allocated to the project through O&M. c) Shall be onsite ninety percent (90%) of the time.



	Description	Qualifications	Requirements
	<ul style="list-style-type: none"> f) Analyze the production cycle and corresponding output to identify issues. g) Communicate with internal teams and external customers to resolve issues. h) Ensure accurate and timely transmission of secure data files to/from business partners via FTP and Contractor interface management. 		
Incident/Problem Manager	<ul style="list-style-type: none"> a) Shall drive the efficiency and effectiveness of the incident/problem management process. b) Shall produce management information, including KPIs and reports. c) Shall monitor the effectiveness of incident/problem management and making recommendations for improvement. d) Shall develop and maintain the incident/problem management system. e) Shall drive, develop, manage, and maintain the major incident/problem management process and associated procedures. f) Shall ensure that all IT teams follow the incident/problem management process for every incident. g) Shall be assist with the development and maintenance of the SOP manual. 	<ul style="list-style-type: none"> a) Minimum of five (5) years' experience in an Incident/Problem Management role for a large scale, mission critical environment b) Proven leadership and coaching skills c) Must be ITIL certified. d) Excellent problem solving and analysis skills e) Good understanding of network and IT knowledge 	<ul style="list-style-type: none"> a) Shall be one hundred percent (100%) allocated to the project through O&M. b) Shall be onsite one hundred percent (100%) of the time
IT Engineer/Systems Monitoring Analyst	<ul style="list-style-type: none"> a) Works under the supervision of the CIP Manager. b) Shall be proficient with monitoring tools management. 	<ul style="list-style-type: none"> a) Minimum five (5) years' of technical support in a data center/service desk/network operations center. 	<ul style="list-style-type: none"> a) Shall not serve in any other position.



	Description	Qualifications	Requirements
	<ul style="list-style-type: none"> c) Shall be proficient with Reports & Dashboards. d) Shall be proficient with alerts configuration and management (metrics, thresholds, KPIs, etc.) e) Shall be proficient with trend Analysis (vulnerability, capacity, performance, and availability). f) Shall be proficient with Qualitative and Quantitative Analysis. a) Shall be responsible for assisting with the development and maintenance of the SOP manual. 	<ul style="list-style-type: none"> b) Extensive experience with industry standard monitoring tools. c) Must have extensive programming language skills a) Must have broad technical background in all areas of IT. 	<ul style="list-style-type: none"> b) Shall be allocated one hundred percent (100%) to the project through O&M. a) Shall be on site ninety percent (90%) of the time.
Principal Systems Security Officer (SSO)	<ul style="list-style-type: none"> b) The Principal SSO will manage the Medicare system security program and ensure the implementation of necessary safeguards. The SSO should be organizationally independent of IT operations and cannot have responsibility for operation, maintenance, or development. c) Shall be assist with the development and maintenance of the SOP manual. 	<ul style="list-style-type: none"> d) Must have a minimum of ten (10) years' experience in managing a large scale Medicare system security program 	<ul style="list-style-type: none"> e) Shall not serve in any other position. f) Shall be allocated one hundred percent (100%) to the project through Implementation. g) Shall be on site ninety percent (90%) of the time h) Shall be available as needed post Go-Live.
Security Architect	<ul style="list-style-type: none"> a) Shall research and advise the State on emerging technologies, trends, and leading practices as they pertain to enabling technology for eligibility modernization. b) Shall determine security requirements by evaluating business strategies and requirements and information security standards; conducting system security and vulnerability analyses and risk assessments; studying architecture/platform; identifying integration issues; and preparing cost estimates. 	<ul style="list-style-type: none"> a) Possess a minimum of five (5) years industry experience with a strong preference towards healthcare environments. b) Possess a minimum of six (6) years on at least four (4) or more of the following security functional areas: credential management, access provisioning, authentication and authorization, access governance, application security, penetration testing, infrastructure security, data security, and security monitoring c) Possess a Bachelor's Degree in computer science OR four (4) years of industry experience in addition to the general 	<ul style="list-style-type: none"> a) Shall be one hundred percent (100%) allocated to the project through Implementation and O&M. b) Shall be onsite ninety percent (90%) of the time.



	Description	Qualifications	Requirements
	<ul style="list-style-type: none"> c) Responsible for planning the security systems by evaluating network and security technologies; developing requirements for local area networks (LANs), wide area networks (WANs), virtual private networks (VPNs), routers, firewalls, and related security and network devices; evaluating the design of public key infrastructures (PKIs), including use of certification authorities (Cas) and digital signatures as well as hardware and software; and adhering to industry standards. d) Responsible for defining security boundaries for the project as required and approved by the State. e) Accountable for delivering security architecture artifacts and deliverables as defined by the project SDLC. 	<ul style="list-style-type: none"> d) Must be familiar with at least one major recognized architecture framework e) Must have excellent communications skills, writing skills, analytical skills, small group facilitation skills, and formal presentation skills 	
Senior Security Engineer	<ul style="list-style-type: none"> a) Responsible for penetration testing, cross script testing, perimeter testing, denial of service, etc. b) Responsible for validation and verification of firewall settings. c) Collaborate, review and approve security infrastructure effectiveness with the State and STS. d) Responsible for vulnerability management 	<ul style="list-style-type: none"> a) Practical experience with DISA STIGS. b) Minimum of five (5) years' experience in security testing. c) Desired relevant professional information security certification. 	<ul style="list-style-type: none"> a) Shall be fifty percent (50%) allocated to the project through Implementation and O&M. a) Shall be onsite ninety percent (90%) of the time
Senior Security Analyst	<ul style="list-style-type: none"> a) Shall work closely with leadership and staff to identify, analyze, manage, and mitigate information security risk. 	<ul style="list-style-type: none"> a) Minimum of five (5) years' related experience in a large scale mission critical environment. b) At least one relevant professional information security certification required: 	<ul style="list-style-type: none"> d) Shall not serve in any other position. e) Shall be one hundred percent (100%) allocated to



	Description	Qualifications	Requirements
	<ul style="list-style-type: none"> b) Responsible for security monitoring activities. c) Responsible for development of compliance responses to regulatory authorities (e.g. CMS, SSA, State of TN, etc.) d) Shall identify, manage and escalate security incidents. e) Shall be responsible for assisting with the development and maintenance of the SOP manual. 	<ul style="list-style-type: none"> CISSP, CISM, CRISC, SANS, GIAC, or similar. c) Extensive experience dealing with sensitive data information systems. 	<ul style="list-style-type: none"> the project through Implementation and O&M. f) Shall be onsite ninety percent (90%) of the time.
Security Analyst	<ul style="list-style-type: none"> a) Shall assist to identify, analyze, manage, and mitigate information security risk. b) Responsible for security monitoring activities. c) Responsible for assisting in the development of compliance responses to regulatory authorities (e.g. CMS, SSA, State of TN, etc.) 	<ul style="list-style-type: none"> a) Minimum of two (2) years' related experience in a large scale mission critical environment b) Desired relevant professional information security certification: CISSP; CISM; Certified in Risk and Information Systems Control; SysAdmin, Audit, Network, and Security Institute; GIAC; or similar c) Extensive experience dealing with sensitive data information systems 	<ul style="list-style-type: none"> a) Shall not serve in any other position. b) Shall be one hundred percent (100%) allocated to the project through O&M. c) Shall be onsite ninety percent (90%) of the time
Privacy/Compliance Specialist	<ul style="list-style-type: none"> a) Responsible for overseeing activities related to the development, implementation, and O&M of the eligibility Solution in compliance with State and Federal regulations and policies applicable to the privacy of and access to the sensitive data of the applicants, members insured, and members of the State work force. b) Responsible for Privacy Impact Analysis. c) Responsible for identifying, facilitating, and coordinating data classification activities. d) Assisting with privacy incident responses. 	<ul style="list-style-type: none"> a) Possess a minimum of five (5) years of IT security industry experience with at least three (3) years in a healthcare related environment. b) Must be familiar with at least one major security compliance framework and be able to demonstrate a firm understanding of relevant State and Federal security/privacy regulations and policies, specifically under NIST, HIPAA, and IRS Pub. 1075 c) Must possess working knowledge of solutions utilizing an integrated development environment, multi-tier platforms, and employing SOA. d) Must be familiar with multiple programming languages, SOA technologies, operating systems, and security industry standards. e) Must have successfully guided security compliance on at least one project with similar size and scope to the TEDS (e.g. 	<ul style="list-style-type: none"> a) Shall not serve in any other position. b) Shall be allocated one hundred percent (100%) to the project through Implementation and O&M. c) Shall be on site ninety percent (90%) of the time. d) Shall be available as needed post Go-Live.



	Description	Qualifications	Requirements
		Health Insurance Exchange, Integrated Eligibility or Medicaid Eligibility in other states) within the last five (5) years.	
Output Document Manager	<ul style="list-style-type: none"> a) Manages end-to-end output document production. b) Responsible for day-to-day operational control. c) Responsible for meeting high paced production and delivery schedule. d) Responsible for assisting with the development and maintenance of the SOP manual. 	<ul style="list-style-type: none"> a) Minimum of five (5) years' experience with Output Management, printers, Print technologies, mail management systems technologies and tools b) Shall have extensive experience with print technologies, high-speed printers, and spooling technologies c) Must have broad IT experience and background d) Experience managing an enterprise level, high volume, transactional document, output operation. e) Knowledge of USPS regulations and requirements regarding mail piece introduction into Postal mail stream. f) Experience with mail-piece tracking solutions. 	<ul style="list-style-type: none"> a) Shall not serve in any other position. b) Shall be allocated one hundred percent (100%) to the project through O&M. c) Shall be on site one hundred percent (100%) of the time
Output Document Programmer	<ul style="list-style-type: none"> a) Responsible for designing, developing, creating, modifying and maintaining all output documents. b) Responsible for assisting with the development and maintenance of the SOP manual 	<ul style="list-style-type: none"> a) Minimum of five (5) years' experience with forms design technologies and tools. b) Shall have extensive experience with print technologies, high-speed printers, and spooling technologies, mail management systems technologies and tools. c) Experience with industry standard document management applications d) Experience with transactional document development and creation to include template design and variable data insertion. e) Knowledge of USPS regulations and requirements regarding mail piece introduction into Postal mail stream. f) Experience with mail-piece tracking solutions. 	<ul style="list-style-type: none"> a) Shall not serve in any other position. b) Shall be allocated one hundred percent (100%) to the project through O&M. c) Shall be on site one hundred percent (100%) of the time
Management and Administrative Support	<ul style="list-style-type: none"> a) Shall support operations by supervising staff and planning, organizing, and implementing administrative systems 	<ul style="list-style-type: none"> a) A minimum of five (5) years' experience in handling a wide range of operational and administrative related tasks b) Ability to work independently as well as work closely with the management team 	<ul style="list-style-type: none"> a) Shall be one hundred percent (100%) allocated to the project through Implementation and O&M.



	Description	Qualifications	Requirements
Technical Writer	<ul style="list-style-type: none"> a) Shall drive the creation of a documentation methodology and framework and maintain proper methodology for purposes of consistency and efficiency. b) Shall prepare and/or maintain documentation pertaining to programming, systems operation, and user documentation. c) Shall translate business specifications into user documentation. d) Shall assist with the development of the SOP manual. e) Shall be familiar with a variety of the field's concepts, practices, and procedures 	<ul style="list-style-type: none"> c) Must have exceptional verbal and written communication skills and a strong attention to detail a) A minimum of three (3) years' experience as a Technical Writer in a healthcare related business b) Good proofreading and editing skills c) Ability to convert technical knowledge into easily understood terms 	<ul style="list-style-type: none"> b) Shall be onsite ninety percent (90%) of the time a) Shall not serve in any other position. b) Shall be one hundred percent (100%) allocated to the project through Implementation. c) Shall be onsite ninety percent (90%) of the time. d) Shall be available as needed post Go-Live.



A.23 Facility

- A.23.1 The Contractor shall secure temporary office space within six (6) weeks of the start of the Contract. At the end of the six (6) week period, the Contractor shall have another six (6) weeks to secure a permanent facility sufficient to house its staff to fulfill the entire scope of this Contract. The facility shall be located within twenty-five (25) miles of the State offices located at 310 Great Circle Rd, Nashville, TN. All costs associated with the facility are the responsibility of the Contractor for the entire Contract period and such costs shall be factored into the Contractor's bid included in the maximum liability of the Contract and shall not be billed separately. The Contractor shall either directly house all necessary subcontractors or otherwise ensure the availability of necessary subcontractors to successfully complete the requirements of this Contract.
- A.23.2 The State may require certain Contractor personnel, as determined by the State, to work on-site at State offices at any point in the Contract, including during the time before the Contractor's temporary office space is secured.
- A.23.3 The Contractor staff shall be available for in-person meetings at the State office and at the Contractor's local office as needed. Meetings will be held at either the State's offices or the Contractor's local offices. Whenever appropriate meeting space is available at the State office, the meetings shall be held at the State offices. Should appropriate meeting space in the State's preferred office(s) be unavailable, the Contractor will provide appropriate meeting space.
- A.23.4 The Contractor shall provide the State with licenses for an industry standard teleconferencing service to allow for remote meetings. Meetings shall be held remotely at the sole discretion of the State.
- A.23.4.1 The Contractor shall leverage the State's video conferencing and collaboration licenses and tools (WebEx, Cisco TelePresence MX300 G2 and MX200 G2, etc.) where possible.
- A.23.5 The Contractor shall provide dedicated space for a minimum of ten (10) full time State staff and Contractors to be collocated with the Contractor and provide additional hoteling spaces as needed.
- A.23.5.1 The Contractor shall provide parking locations for State staff and State contractors at no additional cost to the State.
- A.23.6 The Contractor shall be responsible for providing State approved training facilities as necessary to meet the training specifications and requirements set forth in this Contract. The training facilities shall be located within twenty-five (25) miles of the State offices located at 310 Great Circle Rd., Nashville, TN.
- A.23.7 Nothing in this agreement shall permit the Contractor's employees, agents, representatives, or sub-contractors to share, store, access, use, transport, or disclose State data in any form via any medium, including with any third parties, beyond the boundaries and jurisdiction of the United States of America without express written authorization from HCFA.
- A.23.8 Nothing in this agreement shall permit the Contractor's employees, agents, representatives, or sub-contractors to perform DDI or O&M activities on the Solution beyond the boundaries and jurisdiction of the United States or to leverage systems infrastructure, components, or resources that are hosted beyond the boundaries and



jurisdiction of the United States in support of these activities without express written authorization from HCFA.

A.24 Status Performance Reporting

A.24.1 Status and performance of the program shall be reported on by the Contractor to establish effective program communication to all stakeholders. The Contractor shall provide the State with Program Status Reports outlining progress against key milestones, assessing scope, schedule, budget, resources, and quality and identifying project risks and issues. In addition, the Contractor shall produce performance reports on an ongoing basis and provide reports that communicate key program metrics including, but not limited to, cost, schedule, budget, and testing. The Contractor shall produce each report type in compliance with the frequency, audience and stakeholder needs, and report delivery methods established by the State for the report type. The primary audience for the reports includes, but is not limited to the following recipients: The Project Steering Committee, State Program Director, SPMO Contractor, and TAS Contractor. The table below provides more information about reporting requirements and includes the medium in which the Contractor shall deliver the report. The list, and the respective report's contents, is subject to change at the State's discretion.

Table 4: Status and Performance

Report/Meeting Name	Frequency	Level and Internal or External Intent	Method	Reporting Elements
Executive Steering Committee Meeting	Monthly	Program/External	Written materials delivered in presentation	Program status, progress towards roadmap and overall outcomes, Items requiring decisions, Key risks & issues, Open Project Procurements Status, Project Advance Planning Document Status, Open Project Recruiting Status, Monthly State & Federal Agency/Committee Communications Log Changes, Communication Plan Status, Document Management
Contractor Status Report Meeting	Biweekly	Program/External	Live Meeting/Written materials delivered in presentation	Status, progress toward roadmap and overall outcomes, items requiring decisions, key issues/risks for management attention
Contractor Risk, Issues, and Action Items Focus Meeting	Biweekly	Program/External	Live Meeting/Written materials	In depth discussion of key project risks, issues and action items
Contractor State Business Owners Status Report Meeting	Biweekly	Project/External	Written materials delivered in presentation	Project status, items requiring decisions, key risks/issues and action items relative to the project
CIO Status Report Meeting(s)	Weekly	Program/External	Written materials delivered in presentation	Project status, progress, key issues/risks for management attention
Contractor Testing	Weekly	Project/Internal	Written Materials	Project status, progress, key issues/risks, key successes



Report/Meeting Name	Frequency	Level and Internal or External Intent	Method	Reporting Elements
Status Report Meeting				
Contractor Quality Management Status Report Meeting	Monthly	Program/External	Written Materials	QM project status and risk overview, key milestones, development of key initiative project deliverables, planned versus actual and critical path analysis, assessment of the EMP work plan, project plan critical path, risk/issue assessment
SDLC Status Meeting	Biweekly	Program/External	Written, Web Pages, and Query Tool	Status of architecture artifacts during the SDLC.
Contractor Testing Meeting	Weekly	Program/External	Written Results of the Test	Contractor test planning status, testing outcomes, potential issues or problems from testing for leadership attention
Program Status Report	Biweekly	Program for all Projects/External	Written	Dashboard-style assessment of program status including milestone status and accomplishments, KPI and supporting metrics, new issues and risks, accomplishments this period, plans for next period, and key decisions, focusing Steering Committee on key issues for management attention.
Risk & Issue Log	Weekly	Program (Identifiable by project)	Written	Risks/Issues across all initiatives, overall assessment, trends, and resolution
Quality Risk Management Status Report	Monthly	Project/External	Written	Dashboard-style assessment of project status, focuses Steering committee on key issues for management attention
CMS Status Report	Monthly	External	Written	Dashboard-style assessment of project status, focuses Steering committee on key issues for management attention
Contractor Testing Status Report	Weekly	Project/Internal	Written	Dashboard-style assessment of the testing successes and risks related to the specific projects
Contractor System Deliverables Report	Biweekly	Project/External	Written	Dashboard-style assessment of the deliverables status related to the specific projects
Contractor Systems Retirement Report	Biweekly	Project/External	Written	Dashboard-style assessment of the retirement and transition status of legacy systems related to the specific projects
Contractor Daily/Monthly Operations Reports	Daily	Project/External	Written	Interface events and issues, System events and issues, Software events and issues, Errors and Anomalies, Transactions Sent and Received (Daily and Total Amount), Transaction Types, Staffing and Operational Activities and Issues, Number of notices and letters received and sent (including any and all reconciliation efforts), audit tracking of letter/notices by page, Cumulative statistics, Performance against Service Level Agreements, and complete breakdown of all letters and notices by type.



Report/Meeting Name	Frequency	Level and Internal or External Intent	Method	Reporting Elements
Contractor Root Cause Analysis Report	Weekly	Project/External	Written	Action plans, implementation of solution/workaround
Contractor Turnover Status Reports	Monthly	Project/External	Written	Documentation of turnover plans for business operations and system operations
Contractor SLA Report	Monthly	Project/External	Written	Automated performance report, prior month performance of each service against all of its respective KPIs
CIP Meeting	Quarterly	Program/External	Written	Solution health status, capacity, metrics, KPIs, infrastructure issues/concerns,, corrective actions, gaps, future state, optimization improvement, etc.
Technical Change Control Board Meeting	Biweekly	Project/External	Live Meeting/Written materials delivered in presentation	Existing technical change control items for review
Technical Infrastructure Touch Point Meeting	Weekly	Project/External	Written materials delivered in presentation	Project status, progress, key issues/risks, key successes

A.25 Work Product and Hardware Ownership

A.25.1 Contractor shall assign, transfer and convey to the State all right, title and interest in all Work Product in accordance with Section E.4 and all hardware developed, procured or managed by the Contractor as required by this Contract. Contractor shall also provide a document of the inventory of all Work Product and hardware developed, procured or managed by the Contractor as required by this Contract and specify that the supplied components and materials are current, accurate, and complete.

A.26 Warranty

A.26.1 Warranty Period

A.26.1.1 During each Warranty Period as defined in Section A.26.1.2, the Contractor shall provide warranty services as described in this Section A.26, whereby any Solution defects in the production environment that fail to meet the warranty described in A.26.1.7 and A.26.1.8 and that are identified in writing to Contractor by State or that Contractor becomes aware of during such Warranty Period (“Warranty Defects”), must be resolved within the timeframes set forth in Sections A.26.2.2 and A.26.2.3, with no additional cost to the State or need for project change control processing.

A.26.1.2 The Contract shall provide a Warranty Period of twelve (12) months for each Release of the Solution upon deployment in the production environment, as described in Section A.26.1.5. For the purposes of Section A.26, Release shall include all DDI releases, as well as all Special Project Change Order releases and all Enhancement Change Order releases.



- A.26.1.3 Warranty Defects shall be classified as critical, high, medium and low as described in Contract Attachment 2 – Liquidated Damages.
- A.26.1.4 Reserved.
- A.26.1.5 Each Warranty Period shall begin at Go-Live of the applicable Release and only after the resolution of all critical and high defects identified prior to the Go-Live of that Release, or, if necessary, after the Contractor has provided the State a written workaround, including downstream impacts and plan for resolution, that has been approved in writing by the State.
- A.26.1.6 In the event that a subsequent Release creates or identifies Warranty Defects in the deployed Solution, the resolution of such Warranty Defects will be covered by the warranty of that subsequent Release.
- A.26.1.7 The Contractor shall warrant that each Release of the Solution implementation conforms to system requirements set forth in the applicable Functional Design Documentation Deliverable, Technical Design Documentation Deliverable, and System Security Plan Deliverable as approved by the State.
- A.26.1.8 The Contractor shall warrant that each subsequent Release of the Solution implementation will build upon and conform to previously released functionality requirements described in A.26.1.7 above, unless a change is explicitly approved by the State.
- A.26.1.9 The Contractor shall be responsible for resolving any and all Warranty Defects at no additional cost to the State. This includes Warranty Defects identified within the new Release, as well as newly identified Warranty Defects that have caused previously functioning components of the Solution to work incorrectly.
- A.26.1.10 This Section A.26 survives the termination of the contract. If warranty work will occur after Turnover of the Solution, the Contractor shall include warranty deliverables, testing, etc. as part of the Turnover Plan.
- A.26.2 Documentation and Resolution of Warranty Defects
- A.26.2.1 The Contractor shall define a process to classify and track Warranty Defects that trigger the warranty provisions in Section A.26.
- A.26.2.2 The Contractor shall be responsible to resolve all critical and high Warranty Defects within the periods described in Contract Attachment 2, or, if necessary, provide the State with a mutually acceptable written work-around, downstream impacts, and plan for resolution, all without additional cost to the State.
- A.26.2.3 The Contractor shall resolve all medium and low Warranty Defects within sixty (60) days of identification, unless a longer timeframe is approved by the State in writing.
- A.26.2.4 The Contractor shall be subject to corresponding Liquidated Damages, listed in Contract Attachment 2, for all identified warranty defects that are not resolved within the associated resolution timeframes.
- A.26.3 Additional Warranty Terms



A.26.3.1 Contractor shall have no obligation under this Section A.26 to make warranty repairs attributable to: (i) the State's misuse or modification of any deliverable unless such use or modification is caused by Contractor; (ii) the State's failure to use corrections or enhancements made available by Contractor at no additional cost to the State; (iii) the State's use of any deliverable in combination with any product other than those specified by Contractor; (iv) hardware, systems software, telecommunications equipment or software not a part of a deliverable, excluding such hardware, systems software, telecommunications equipment or software recommended or endorsed by Contractor, which is inadequate to allow proper operation of the deliverable or which is not operating in accordance with the manufacturer's specifications; or (v) operation or utilization of any deliverable in a manner not contemplated by this Contract.

A.26.3.2 The warranty set forth in Section A.26 shall not apply with respect to hardware or software that is supplied by a third party to the State. The terms and conditions of the warranty to the State with respect to such hardware or software will be provided by the third party vendor of such hardware or software. The State shall not look to Contractor for any warranty for such products.

A.27 Table of Deliverables

A.27.1 The Contractor shall complete the following deliverables for each of the Scope of Work sections above, as indicated in the Table below.

A.27.2 The Contractor shall ensure each deliverable's compliance with the appropriate and corresponding State plan, where applicable.

A.27.3 Where identified deliverables require ad hoc updates or are updated periodically during the course of the implementation:

A.27.3.1 The Contractor shall update content in the original deliverable. Updated content provided in a Deliverable Amendment (and not integrated into the original deliverable) requires prior authorization by the State.

A.27.3.2 The Contractor's completion of, and the State's acceptance of, a deliverable during one Gate Review does not constitute acceptance of that deliverable for any subsequent Gate Review.



Table 5: Deliverables

Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
Deliverable 1	Project Management Plan	Once upon State approval; Update if necessary	The Project Management Plan is the overall plan for project execution, monitoring, and control and should include information describing the project management approach, the internal organizational structure and organizational chart, roles and responsibilities, a summary of the Project's purpose, scope, and objectives, a description of an the constraints and/or assumptions on which the Project is based, a list of product deliverables, a summary of the Project's schedule and budget, and the methods for updating, reviewing and disseminating the PMP as well as specific supplemental management plans for critical project areas: <ul style="list-style-type: none"> a) Overall Project Management Approach b) Scope Management Plan c) Schedule Management Plan 	<ul style="list-style-type: none"> a) The Project Management Plan and component plans have been reviewed and appropriately updated. b) The Project Management Plan defines how the project will be executed, monitored and controlled and includes high level estimates of the baselines. c) The Project Management Plan is fully scaled and details all the appropriate components that address the needs of the project. This includes the definition of appropriately scaled reviews and deliverables 	<ul style="list-style-type: none"> a) Issues List b) Action Items c) Decision Log d) Lesson Learned Log e) Staff Planning and Monitoring Processes f) Staffing Tracker g) Resource Availability Calendar h) Key Personnel Transition Plan i) Onboarding Checklist j) Onboarding Arrival Packet k) Acceptable Use Policy and Information Protection Plan l) Roll-On Form m) Team Member Transitions Plan n) Roll-Off Form o) Off-Boarding Checklist 	Type C	A.8



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			d) Communication Management Plan e) Quality Management Plan f) Risk/Issue Management Plan g) Change Management Plan (including Training Plan) h) Configuration Management Plan i) Performance Management Plan j) Staffing Management Plan k) Financial Management Plan The Project Management Plan is created during the PBR Gate of the SDLC and State approval of the project management plan is required as a criteria item for completion of the Project Baseline Review				
Deliverable 2	Key Performance Indicator Management Plan	Once upon State approval;	The KPI Management Plan describes the processes and mechanisms by which Key Performance	a) The Plan properly describes the state-approved KPIs that will be	a) Continuous Improvement Plan	Type A	A.17



Table	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
		Update if necessary	<p>Indicators will be defined, tracked, and properly reviewed during the duration of the project. At a minimum the KPI Management Plan shall include:</p> <ul style="list-style-type: none"> a) A description of the KPI, and the business value it will bring to the project b) Identification of the tools, processes, inputs, and calculations that will be used to generate the KPIs current result c) The process by which KPIs will be reported, tracked, and reviewed to ensure that over time the KPI is in compliance with established limits d) Additional metrics that will be needed for each KPI if is found out of compliance e) The communication plan for 	<p>tracked during the project</p> <ul style="list-style-type: none"> b) The Plan establishes the process by which KPIs will be documented, tracked, and updated over time c) The Plan details how each KPI will be calculated d) The Plan has a properly defined KPI communication plan 			



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			<p>reporting KPI results, including escalation plans for KPIs found out of compliance</p> <p>f) The roles and responsibilities for KPI generation, tracking, and reporting</p>				
Deliverable 3	Requirements Management Plan	Once upon State approval; Update if necessary	<p>The Requirements Management Plan provides a clear and concise layout of how detailed requirements will be gathered (including sections for functional, technical, security, performance, operational, etc.).</p> <p>The Requirements Management Plan must outline a robust method to store and track functional, technical and other operational and performance requirements.</p>	<p>a) The Requirements Management Plan prescribes the tools and methodologies of capturing, standardizing, classifying, monitoring, reporting, maintaining, and managing requirements.</p> <p>b) The Requirements Management Plan shall outline methods for maintaining requirements traceability throughout the development process; methodology and processes adopted during</p>		Type A	A.10



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
				development; types and conduct of test activities, and the change control and configuration management processes.			
Deliverable 4	Business Rules Management Plan	Once upon State approval; Update if necessary	The Business Rules Management Plan will detail the tools, processes, and methods by which business rules are managed, changed, or retired.	<ul style="list-style-type: none"> a) The Business Rules Management Plan outlines the standards, tools, and methodologies that will be used in managing business rules across the solution life cycle. b) The Business Rules Management Plan outlines the industry-recognized Business Rules Engine (BRE) or Business Rules Management System (BRMS) used to document business rules c) The Business Rules Management Plan outlines the format that 		Type A	A.10



Item	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
				<p>will be utilized when developing business rules</p> <p>d) The Business Rules Management Plan identifies the responsibilities of Business Rules Management, including critical access and segregation of duties considerations</p> <p>e) The Business Rules Management Plan includes explanation regarding compliance with the Minimum Acceptable Risk Standards for Exchanges (MARS-E), and proper alignment with the project Security Plan</p>			
Deliverable 5	Design Management Plan	Once upon State approval; Update if necessary	The Design Management Plan details the approach to system design. The plan must ensure that the system conforms to the defined standards for system design and	<p>a) The Design Management Plan details the approach to system design.</p> <p>b) The Design Management</p>		Type A	A.27



Table	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			<p>systems architecture. The plan also ensures that the Enterprise Architecture (EA) requirements within the State are taken into consideration during the System design. The plan must ensure completeness and level of detail in design specifications. The Design Management Plan will outline considerations of the design on the selection of a Software Development Methodology.</p>	<p>Plan must ensure that the system conforms to the defined standards for system design and systems architecture.</p> <p>c) The Design Management Plan demonstrates conformance to the States Enterprise Architecture (EA).</p> <p>d) The Design Management Plan demonstrates how all requirements will be addressed in design.</p> <p>e) The Design Management Plan must ensure completeness and level of detail in design specifications.</p> <p>f) The Design Management Plan will outline considerations of the design on the selection of</p>			



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
				a Software Development Methodology.			
Deliverable 6	Test Management Plan	Once upon State approval; Update if necessary	The Test Management Plan outlines the approach that will be employed to test the Solution and to evaluate the results of that testing; outlines general testing roles and responsibilities; and serves as the top-level plan that will be used to govern and direct the detailed testing work. The Test Management Plan should address complexities associated with a multiple release implementation.	<ul style="list-style-type: none"> a) The Test Management Plan details the planning, execution, and management activities to be executed in order to monitor and control testing, and ensure alignment of corresponding activities with the project goals and objectives. b) The Test Management Plan references a defect resolution process that is inclusive of defect identification, prioritization, creation, tracking, and resolution and retesting activities to be followed when a defect is found. c) The Test Management Plan defines the 	<ul style="list-style-type: none"> a) Unit Testing template b) Smoke/Sanity Testing template c) Regression Testing template d) Ad-hoc Testing template e) Exploratory Testing template f) Usability Testing template g) GUI Software Testing template h) Accessibility Testing template i) Security Compliance Testing template j) Compatibility Testing template k) Functional Testing template l) Boundary Testing template 	Type A	A.10 A.17



Table	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
				<p>testing environments hours of operations during testing execution.</p> <p>d) The Test Management Plan outlines the expectations for level of detail that shall be required in each test case.</p>	<p>m) Negative Testing template</p> <p>n) Error Handling Testing template</p> <p>o) Alert/Monitoring Testing template</p> <p>p) Capacity Testing template</p> <p>q) Performance Test Plan and Results template</p>		
Deliverable 7	Implementation and Deployment Plan	Monthly, throughout project lifecycle	The Implementation and Deployment Plan explains the implementation methodology to be used, explaining how operations will transfer from the legacy system to the new System. The Plan will also contain an up-to-date detailed implementation schedule.	<p>a) The Implementation and Deployment Plan contains an up-to-date detailed implementation schedule to be followed.</p> <p>b) The Implementation and Deployment Plan describes the major tasks required to be taken, and the objective behind each task.</p> <p>c) The Implementation and Deployment Plan lists the support equipment</p>	<p>a) Release Plan</p> <p>b) Implementation Plan</p> <p>c) Monitoring Strategy</p> <p>d) Version Description Document</p> <p>e) Information System Description</p> <p>f) Release and Deployment Plan</p> <p>g) System Sunset Plan</p> <p>h) Cut-Over Plan</p> <p>i) Roll Back Plan</p> <p>j) Turnover Plan</p> <p>k) Knowledge Transition Plan</p>	Type A	A.10 A.17



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
				(hardware), software, data, facilities and materials required for the implementation, if applicable.			
Deliverable 8	Data Conversion and Synchronization Plan	Monthly, throughout project lifecycle	The Data Conversion and Synchronization Plan describes the strategy, preparation, and specifications for data conversion activities. This plan describes the overall approach, assumptions, and processes that will be used in the data conversion. It includes an inventory and cross reference of source and target data elements, schema, metadata and all self-describing files; process for data extraction, transformation and loading for each data source; tools needed to execute the conversion; and strategy for data quality assurance and control.	<ul style="list-style-type: none"> a) The Data Conversion and Synchronization Plan describes rationale for the conversion and a general description of the boundaries of the data conversion effort b) The Data Conversion and Synchronization Plan outlines the approach that will be used to extract, transform/cleanse and load data from the source to target destinations during the conversion/migration process c) The Data Conversion and Synchronization Plan outlines the schedule of conversion activities to be 	<ul style="list-style-type: none"> a) Extract Control Documents b) Roll Back Plan 	Type A	A.14



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
				accomplished in accordance with this Data Conversion Plan			
Deliverable 9	System Security Plan	The initial System Security Plan shall be completed in Release I then reviewed and updated on an as needed basis, including annually, and when there are major system modifications that could potentially impact the security and privacy of the information system.	The System Security Plan documents the system's security level and describes managerial, technical and operational security controls. An Initial copy of the System Security Plan includes an initial Risk Assessment (RA) that contains mission/business process risks and the monitoring strategy, for review and approval by the Technical Change Control Board (TCCB) and Project Steering Committee.	<ul style="list-style-type: none"> a) The System Security Plan works in synchronization with the safeguard procedures to detail the control requirements for the protection of all data received, stored, processed and transmitted in compliance with all Federal Laws and Regulations. b) The System Security Plan includes the current level of existing security controls within the System that protect the confidentiality, integrity and availability (CIA) of the system and its information. c) The System Security Plan 	<ul style="list-style-type: none"> a) Part A System Identification b) Part B Security Controls Workbook c) Part C Privacy Controls Workbook d) Part D SSP Attachments e) Appendix A – IRS Requirements for Safeguarding Federal Tax Information (FTI) f) Appendix B – Security and Privacy Agreements and Compliance Artifacts g) Memorandum of Understanding h) Interconnection Security Agreements (ISA) i) Computer Matching Agreement 	Type C	A.19 A.26



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
				<ul style="list-style-type: none"> outlines the applicable Laws or Regulations. d) The System Security Plan contains a review log that is maintained to record the reviews that have taken place for this system. e) The System Security Plan organizes security controls into groups of families. f) Exit criteria includes CMS signoff, if applicable 	<ul style="list-style-type: none"> j) Information Exchange Agreement k) Privacy Impact Analysis l) Security Impact Analysis m) Asset Inventory n) Asset Management Plan o) Information System Risk Assessment (ISRA) 		
Deliverable 10	Business Continuity and Disaster Recovery Plan	Monthly, throughout project lifecycle	The Business Continuity and Disaster Recovery Plan describes the strategy and organized course of action that is to be taken if things don't go as planned or if there is a loss of use of the established business product (e.g., system) due to a disaster such as a flood, fire, computer virus, or major failure. The Business Continuity and Disaster Recovery Plan describes the strategy for ensuring recovery of the business	<ul style="list-style-type: none"> a) The Business Continuity and Disaster Recovery Plan b) The Business Continuity and Disaster Recovery Plan prescribes responsibilities as they relate to actions that will be taken in response to a disruption. c) The Business Continuity and 	<ul style="list-style-type: none"> a) Business Continuity Plan b) Disaster Recovery c) Disaster Recovery Plan Training d) Configuration Management Plan e) Configuration Management Database f) Asset Management Plan 	Type A	A.10 A.17



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			product in accordance with stated Recovery Time Objective and Recovery Point Objectives.	Disaster Recovery Plan clearly outlines milestones, notification activities, emergency handling of routine procedures, required contacts, formal agreements, lessons learned activities, and procedures to return normal operations in the event of a disaster.	<ul style="list-style-type: none"> g) Business Continuity Plan Training h) Backup Management Plan i) Business Impact Analysis j) IT Service Continuity Requirements 		
Deliverable 11	Capacity Plan	Monthly, throughout project lifecycle	<p>The Capacity Plan will address business capacity, service capacity, and IT component capacity management strategies that will be executed through the duration of the project. The Capacity Plan will also outline the management process and tools that will be used to complete capacity management, as well as estimates of future system workloads.</p> <p>The capacity plan will include, but not limited to, infrastructure, database, network, and any other aspects</p>	<ul style="list-style-type: none"> a) The Capacity Plan demonstrates a State-approved skill and resource level to effectively execute the Capacity Plan. b) The Capacity Plan defines capacity performance success at the business process level c) The Capacity Plan outlines the practices, objectives, performance 	<ul style="list-style-type: none"> a) System Capacity and Performance Plan b) Capacity Demand Model 	Type A	A.17



Item	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			required to meet the performance requirements of the system.	<p>factors, monitoring and reporting activities, and communication strategies of the Capacity Plan.</p> <p>d) The Capacity Plan addresses steps and activities needed to address instances of abnormal levels of system use outside of forecasted operating procedures.</p>			
Deliverable 12	Data Management Plan	Monthly, throughout project lifecycle	A defined plan for the management of data that provides, at a minimum, a summary of activities for data generation, a summary of the types of data generated by the relevant activities, the plans for preservation of the generated data, and a description of the appropriate level of access for the generated data.	<p>c) The Data Management Plan includes a summary of activities that generate data</p> <p>d) The Data Management Plan includes a summary and appropriate categorization of the data types generated by the identified activities.</p> <p>e) The Data Management Plan includes a plan for storage and</p>	<p>a) Record Retention Schedule</p> <p>b) XML Taxonomy</p>	Type A	A.12



Item	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
				<p>maintenance of the data generated by the identified activities, in both the short-term and long-term (if relevant).</p> <p>f) The Data Management Plan includes a plan describing whether and how the data generated by the identified activities will be reviewed and made available to the public and how the metadata describing it will be stored.</p>			
Deliverable 13	Performance and Availability Plan	Monthly, throughout project lifecycle	The Performance and Availability Plan will identify target performance areas and methods of measurement; establish the baseline metrics for the agreed upon goal areas; and assist HCFA in determining the level of achievement of the performance goals.	a) The Performance and Availability Plan identifies and prioritizes the performance measurement goals and objectives to align with the information needs of the customer, project, organization, and	<p>a) Performance Test Plan and Results Template</p> <p>b) Program Availability Management Plan</p> <p>c) Availability Risk Assessments</p>	Type A	A.10 A.17



ID	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
				<p>stakeholders, as applicable.</p> <p>b) The Performance and Availability Plan includes a Traceability of Information Needs to Measurement Objectives by defining the information need, measurement objective, and the performance measure threshold.</p> <p>c) The Performance and Availability Plan describes the methods, processes, tools and techniques that will be used for performance measurement.</p> <p>d) The Performance and Availability Plan outlines the data that will be collected, how it will be collected, and where it will be stored.</p> <p>e) The Performance</p>			



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
				<p>and Availability Plan includes analysis on the data collected, and a review of the data to identify trends and opportunities for improvements and corrective actions.</p> <p>f) The Performance and Availability Plan includes an approach for identifying and addressing deficiencies in performance and availability.</p>			
Deliverable 14	Work Breakdown Structure (WBS)	Monthly, throughout project lifecycle	The Work Breakdown Structure (WBS) is a preliminary step in the preparation of a project work plan and schedule that encompasses all activities from Project Initiation to Project Closure. The WBS must define the project's overall objectives by describing the project tasks and deliverables. The WBS must include: <ul style="list-style-type: none"> a) A consolidated view of the activities, activity descriptions, 	<ul style="list-style-type: none"> a) The WBS defines 100% of the project scope b) The WBS was created with input provided by all relevant stakeholders c) The WBS is outlined as such that the project activities and tasks are able to be executed, monitored, and controlled. 		Type A	A.8



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			<ul style="list-style-type: none"> a) and activity durations b) Resources assigned to each activity c) A list of deliverables tied to project milestones d) A way to track the project schedule against the planned schedule e) Deliverable approval periods <p>This deliverable is associated with the PBR Gate and must be delivered to the State prior to the completion of the project baseline review.</p>	<ul style="list-style-type: none"> d) The WBS is broken down such that any work package greater than 80 hours must be broken down into component activities. e) The WBS includes a WBS Dictionary, or executable activities being followed to completing the process. 			
Deliverable 15	Risk Register (update weekly)	Monthly, throughout project lifecycle	The Risk Register contains the findings of the Risk Management Process and serves as the source of record for risk management activities to track the approaches and action plans for dealing with identified risks, which typically involve one of four options: avoidance, mitigation, transference, or acceptance. Once an approach is selected,	<ul style="list-style-type: none"> a) The Risk Register will contain Risk Category, Probability, Impact, Risk Score, Risk Ranking, Risk Response, Trigger and Risk Owner. b) The Risk Register should identify how risks are 	a) Risk Management Plan	Type A	A.24



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			detailed actions to implement are developed and the risk register serves as a record of those activities that information throughout the SDLC. The initial risk register is created during the ORR Gate and must be approved by the state prior to the completion of the project baseline review.	mitigated (change request, work around, deferment)			
Deliverable 16	Baselined Work Plan and Schedule	Monthly, throughout project lifecycle	This is a work plan and schedule that is managed in an appropriate project management tool.	<ul style="list-style-type: none"> a) The schedule has sufficient detail to support the projected durations. b) The master work plan must reflect any changes from the plan submitted within the Contractor's original proposal that were discussed and agreed to during project planning. 		Type A	A.8
Deliverable 17	Status Reporting	Weekly and Monthly, throughout project lifecycle	<p>This deliverable must be a recurring deliverable for the entire length of the project. The deliverable must at a minimum include periodic reporting of the following activities:</p> <ul style="list-style-type: none"> a) Status of work completed 	<ul style="list-style-type: none"> a) The reports contain all of the required elements as agreed upon by HCFA and the Contractor. 		Type A	A.8 A.24



Table	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			against the Project Work Plan b) Objectives for the next reporting period c) Client responsibilities for the next reporting period d) Recovery plan for all work activities not tracking to the approved schedule e) Projected completion dates compared to approved baseline key dates f) Escalated risks, issues (including schedule and budget), and Action items g) Disposition of logged issues and risks h) Important decisions i) Actual/projected Project Work Plan dates versus baseline Project Work Plan milestone dates				



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			<p>j) One-page graphical summary of the Project Work Plan status of all major tasks and subtasks for each release in a Desktop Project Plan</p> <p>Adjustments to status reporting requirements will be addressed through the Memorandum of Understanding (MOU) process.</p>				
Deliverable 18	Financial Status Report	Weekly and Monthly, throughout project lifecycle	The Financial Status Report tracks the project costs to the project budget baseline and outlines any budgetary risks.	<p>a) Includes estimates to completion, or cost performance index information.</p> <p>b) It will reflect approved changes to project budget.</p> <p>c) Includes reporting on any project work stream that has had activity against it.</p>		Type A	A.24
Deliverable 19	Detailed Requirements Traceability Matrix	Updated monthly throughout project lifecycle	The Detailed Requirements Traceability Matrix describes the life of a requirement, in both a forward and backward	<p>a) The Requirements Traceability Matrix outlines describes each requirement</p>	<p>a) Requirements Specification Document including but not limited to:</p> <p>b) Business Rules</p>	Type C	A.12



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			direction, ideally through each step of the entire product's life cycle, ensuring scope is met.	<p>independently, which Release each requirement was met or updated, and provides traceability to applicable test cases to demonstrate how each requirement was implemented.</p> <p>b) The Requirements Traceability Matrix shows the difference between functional and non-functional requirements.</p> <p>c) The Requirements Traceability Matrix allows rationale to be included when requirements are not fully traceable throughout the lifecycle.</p>	<p>c) Business Process Flow Diagrams</p> <p>d) Requirements Traceability Matrix Functional/Non-Functional Requirements</p>		
Deliverable 20	Requirements Specification Document	Once per release upon State approval	The Requirements Specification Document provides all requirements expected to be implemented. This document lists the	a) The Requirements Specification Document outlines business,	<p>a) Requirements Specification Document including but not limited to:</p> <p>b) Business Rules</p>	Type A	A.12



Table	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			business requirements, business rules, stakeholder requirements, and functional/nonfunctional requirements for the project. It also contains use case scenarios that describe how the requirements will be implemented.	<ul style="list-style-type: none"> technical, governance and project management stakeholders inclusive of requirements gathering, review, and approval. b) The Requirements Specification Document includes references to all interdependent deliverables and artifacts throughout the lifecycle, specifically documents that ensure traceability to the implemented Solution. c) The Requirements Specification Document includes business and functional rationale of the included requirements. d) The Requirements Specification 	<ul style="list-style-type: none"> c) Business Process Flow Diagrams d) Requirements Traceability Matrix Functional/Non-Functional Requirements 		



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
				<p>Document details the Solution, written in a level of detail easily understood by non-technical personnel.</p> <p>e) The Requirements Specification Document includes Business Process Flow Diagrams detailing the Business Process that is being introduced or enhanced.</p>			
Deliverable 21	System Architecture Design Document	Once per release upon State approval	<p>The System Architecture Design Document (SADD) describes:</p> <p>a) How the functional and nonfunctional requirements recorded in the Requirements Document will be met in the Solution design.</p> <p>b) How the preliminary user-oriented functional design recorded in the High Level Technical</p>	<p>a) Functional and non-functional requirements are mapped to supporting technical design.</p> <p>b) Functional design requirements are mapped to technical design specifications.</p> <p>c) A high level system design is provided.</p>	<p>a) Technical Architecture Diagrams</p> <p>b) Systems Design Document</p> <p>c) High Level Technical Design Concept/Alternatives</p> <p>d) FTI Labeling Methodology</p>	Type C	A.19



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			<p>Design Concept/Alternatives document will be met in the Solution design.</p> <p>The SADD describes design goals and considerations, provides a high-level overview of the system architecture, and describes the data design associated with the system, as well as the human-machine interface and operational scenarios. The high-level system design is further decomposed into low-level detailed design specifications for each of the system's components, including hardware, internal communications, software, system integrity controls, and external interfaces. The high-level system design serves as primary input to the Preliminary Design Review. The low-level detailed design serves as input to the Detailed Design Review.</p>				
Deliverable 22	Interface Control Document(s)	Once per release upon State approval	The Interface Control Document (ICD) describes the relationship between the two interconnected systems. This ICD	<ul style="list-style-type: none"> a) All ICDs defined as required have been created. b) The ICD describes the 	<ul style="list-style-type: none"> a) TEDS Interface/Integration Management Plan 	Type C	A.10 A.16



Table	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			<p>specifies the interface requirements to be met by the participating systems and at minimum, describe the interface definitions and design (including XML/SOAP/flat file/other specifications for file formats),. It describes the design specifications for the interface, defines the message structure and protocols that govern the interchange of data, and identifies the communication paths along which the data are expected to flow. For each interface, the following information will be provided:</p> <ul style="list-style-type: none"> a) A general description of the interface; b) Assumptions where appropriate; c) A description of the data exchange format and protocol for exchange; and d) Estimated size and frequency of data exchange 	<ul style="list-style-type: none"> interface, including purpose, format, message structure, and protocols. c) The ICDs indicate the size and frequency of the data exchange. d) Memorandum of Understanding or System Interface Agreements have been established to document the interface expectations. e) The ICD has been tested via simulation. 	<ul style="list-style-type: none"> b) Memorandum of Understanding c) Interconnection Security Agreement d) Interface Control Test Plan 		



Table	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
23	Database Design Document	Once per release upon State approval	The Database Design Document describes the design of a database and the software units used to access or manipulate the data.	<ul style="list-style-type: none"> a) The Database Design Document outlines the DBMS to be used for the Solution b) The Database Design Document outlines tasks and responsibilities for database administration and reporting, including performance monitoring, efficiency, backup and recovery. c) The document indicates key design decisions. d) The document includes a detailed database design, including data formats, data software objects, data structures, and database management system files. 	<ul style="list-style-type: none"> a) Logical Data Model b) Physical Data Model c) Entity Relationship Diagram (ERD) for the logical data model d) Data Flow Diagrams 	Type C	A.14



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
				e) The document describes how the preliminary data design documented in the Logical Data Model are transformed into more technical system design specifications from which the system will be built.			
Deliverable 24	Data Dictionary	Once per release upon State approval	The Data Dictionary comprehensively outlines the data element name, type, length, source, validation rules, maintenance (create, read, update, delete (CRUD) capability), data stores, outputs, aliases, and description. The Data Dictionary shall provide a data classification of all data collected and transferred by the Solution.	<ul style="list-style-type: none"> a) The Data Dictionary characterizes data formatting requirements and validation rules b) The Data Dictionary describes the data classification of database elements (entity, attributes etc.) 		Type C	A.14 A.19
Deliverable 25	SOA Models	Once per release upon State approval	SOA Models will outline a services portfolio by identifying services, defining a service hierarchy, and classifying the services based on this hierarchy. This will involve defining the coarse-granularity and fine-granularity of services. This document	<ul style="list-style-type: none"> a) The SOA Models identify the Services Portfolio Management requirements, which must include the requirements for how often services should 	<ul style="list-style-type: none"> a) Service Oriented Architecture (SOA) Model including but not limited to: b) Definition of service hierarchy 	Type C	A.17



Table	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			must identify and prioritize the key services and the mechanisms to create the service layers using industry standards.	<ul style="list-style-type: none"> be reviewed, how often they should be updated, and how they should be published b) The SOA Models identify the Quality of Service requirements for each service, which will involve defining scalability, availability, and response time (latency) of services in order to ensure that they are within the promised range c) The SOA Models identify interface requirements, which will involve both internal and external Partners and ensuring that the new System is sufficiently scalable and flexible to support the number of interfaces that will be required. 	<ul style="list-style-type: none"> c) Prioritization of key services d) Mechanisms to create service layers e) Technical Architecture Diagrams f) Quality of Service Requirements g) Interface Requirements h) Security Requirements i) Performance Requirements j) Operational Requirements k) SOA Governance Processes 		



ID	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
				<p>Interface requirements must also include defining what communications should be asynchronous, and what communications should be synchronous</p> <p>d) The SOA Models identify security requirements, which may include encryption, authentication, data protection, and constraints on performing certain operations</p> <p>e) The SOA Models identify performance requirements, which may include the expected response time for application tasks, failover support for applications, and hours of availability</p> <p>f) The SOA Models identify</p>			



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
				operational requirements, which may include server needs, scalability requirements, hosting requirements, monitoring, load balancing, failover, fault recovery, accounting and metering			
Deliverable 26	Functional Design Document (Including Use Cases)	Once per release upon State approval	The Functional Design Document expands upon the requirements document to describe how the functional requirements will be implemented. This document goes to a granular level and describes such things as the tables to be updated, fields to be added, screens to be created or changed, business rules to be changed, and additional interfaces.	<ul style="list-style-type: none"> a) Accounts for all functional requirements b) Demonstrates how functional requirements will be addressed within the design c) Use cases that describe how the requirements will impact the system, included both positive and negative use cases. d) Business Process Flow Diagrams detailing the Business Process that is 	a) Systems Design Document	Type C	A.15 A.16 A.26



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
Deliverable 27	Technical Design Document	Once per release upon State approval	<p>A Technical Design Document reflects the details required for System development/configuration and operation. This document must be developed based on outputs from the technical design sessions conducted with all Stakeholders and/or functional design, interface control documents. The Technical Design Document must include the following components:</p> <ul style="list-style-type: none"> b) Detailed description of System architecture c) Entity Relationship Diagrams, Create, Retrieve, Update, Delete details for database elements for the component being elaborated in the design d) Data Flow Diagrams 	<p>being introduced or enhanced.</p> <ul style="list-style-type: none"> a) Contains detailed description of system architecture. b) Includes entity relationship diagrams and data flow diagrams c) References the data dictionary (i.e., all data elements are represented in the data dictionary) d) Specifies processing controls e) Specifies installation, configuration, and backup procedures f) Includes security controls g) Addresses availability and resilience controls such as load balancing, failover, and fault tolerance h) References ICDs 	<ul style="list-style-type: none"> a) Technical Architecture Diagrams b) Systems Design Document c) Business Rules Document d) Print/Letter/Notices/Electronic Output Management Plan e) Configuration Management Plan f) Backup Management Plan g) Availability and Performance Plan h) Interface Control Documents i) "White Hat" Search Engine Optimization Plan 	Type C	A.15 A.16 A.26



Table	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			<ul style="list-style-type: none"> e) Processing controls f) Processes to manage System installation and configuration g) Data backup procedures h) Availability and resilience controls such as load balancing, failover capabilities, and fault tolerance. <p>The Technical Design Document must include, at a minimum, the interface definitions and design (including XML/SOAP specifications for file formats), the new System design based on reviewing existing class diagrams, sequence diagrams, updated object models that represent the internal workings and designs of the containing subsystems that will expose the services, and the component specification (details of the component that will implement the service) and service assignment to each layer defined in the System architecture.</p>	<ul style="list-style-type: none"> i) Requirements and Design components mapped appropriately in configuration management database 			



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
28	Service Level Agreements (SLAs)/Memorandum of Understanding (MOUs)	Once per release upon State approval	A Service Level Agreement(s) (SLA) is a contractual agreement between an internal or external service provider and their customer specifying performance guarantees with associated, reasonable, and agreed upon, non-punitive liquidated damages should the service not be performed as contracted. A Memorandum(s) of Understanding (MOU) is a legal document that outlines the terms and details of an agreement between parties, including of each party's requirements and responsibilities.	<ul style="list-style-type: none"> a) The SLA/MOU outlines the agreed upon period of performance and any performance guarantees with associated complications falling within the period as well as reporting mechanisms/frequency and review process. b) The SLA/MOU includes a process to be followed in the event that an agreement change is to be made c) The SLA/MOU escalation process is included and detailed in nature 	<ul style="list-style-type: none"> a) Service Level Management Plan b) Service Level Agreements c) Memorandum of Understanding 	Type B	A.10 A.17
29	Automated Code Review Results	Once per release upon State approval	This deliverable will display the results from an automated tool's code review. These results will be used by developers to address issues in the coding. This will also be helpful in determining the overall quality of the code being produced.	<ul style="list-style-type: none"> a) Results are comprehensive of code. b) Results provide evidence to indicate product quality. c) Results indicate level of compliance with 	<ul style="list-style-type: none"> a) Coding Standards and Quality Review Plan 	Type A	A.10



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
Deliverable 30	System Configuration Document	Once per release upon State approval	A System Configuration Document captures all the configuration information of the systems. This document often contains: Network configuration by interface, disk partition layout, installed software, with any significant configuration information, hardware and peripherals inventory, physical location of system, authentication information, network integration information (e.g., Network Time Protocol (NTP) configuration, Domain Name System (DNS) resolver configuration), list of authorized super users, list of authorized pseudo users, list of individual(s) responsible for system, with contact information (preferably via multiple communication channels), OS version information, installation idiosyncrasies and patches installed. With good system configuration documentation, a system can be rebuilt from scratch, as well as it can	coding standards. a) Documents all system configuration elements (software, hardware, OS, network configuration, authentication) b) Information can be validated to be accurate and current (e.g., release and patch levels reflect current installation) c) Reflects all approved configuration changes (managed through Technical Change Control Board)	a) Configuration Management Plan b) Asset Management Plan	Type C	A.17



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			handle other disaster recovery tasks.				
Deliverable 31	Unit, System, Regression, and Integration Test Scripts	Once per release upon State approval	This deliverable documents the configuration decisions made in developing the Solution, and includes traceability of configuration decisions to requirements and design. It includes information such as network configuration by interface; disk partition layout; installed software, with any significant configuration information – hardware and peripherals inventory; physical location information; authentication information (method used, configurations for method, etc.); network integration information (e.g., NTP configuration, DNS resolver configuration); list of authorized superusers; list of individual(s) responsible for system, with contact information (preferably via multiple communication channels); OS version information and installation idiosyncrasies; patches installed. This documentation is critical	<ul style="list-style-type: none"> a) Tests are traceable to requirements. b) Tests have been reviewed for relevance to the respective requirement. c) Tests have been defined for unit, system, regression and integration testing that provide complete coverage to all testable requirements d) Section 508 testing package 		Type C	A.10



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			to support staff in operations and maintenance, and also supports disaster recovery tasks as well as OS patch maintenance.				
Deliverable 32	Unit, System, Regression, and Integration Testing Test Results	Once per release upon State approval	Test scripts provide instructions (written using a scripting/programming language) to be performed on a system under test to verify that the system performs as expected. Unit tests occur on individual functions; system integration tests validate performance of multiple sub-systems within the Solution.	<ul style="list-style-type: none"> a) Test activities and results are documented by module. b) Defects and retest results are documented. c) Test results demonstrate completion of all required tests and testing against all requirements. 	<ul style="list-style-type: none"> a) Test Reports and summary reports for unit, system, Regression, integration testing for all areas being tested b) Section 508 Assessment Package results c) Test Summary Report 	Type A	A.10
Deliverable 33	System Readiness Certification for UAT	Once per release upon State approval	This deliverable documents completion of testing and associated results for testing completed by the system integrator. Results should indicate success rate, defects, retest results, and completion percentage of tests vs. requirements.	<ul style="list-style-type: none"> a) Open defects have been determined by State to be low impact and low risk. b) All functional and non-functional requirements have been delivered unless change requests have provided for de-scoping or deferral. c) Modules and components 	<ul style="list-style-type: none"> a) Test Reports b) Section 508 Assessment Package results c) Test Summary Report 	Type A	A.10



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
				<p>demonstrated stable performance during SIT and performance and capacity testing.</p> <p>d) Release notes have been developed to document functionality included in release.</p>			
Deliverable 34	<p>Formal Acceptance Testing Report (successful completion of UAT)</p> <p>- Performance Test Results</p> <p>-System Runbook and Troubleshooting Guide</p> <p>-System and Operational Readiness Checklist</p> <p>-Data Conversion Report</p>	Once per release upon State approval	The Formal Acceptance Testing report documents completion of UAT and final steps prior to implementation into production. This report includes documentation to support use and maintenance of the Solution, as well as evidence that readiness activities – including transition requirements – have been completed.	<p>a) UAT results are documented, and demonstrate no defects beyond low impact or low risk.</p> <p>b) Troubleshooting guide has been validated by user and support staff for accuracy and relevance of topics.</p> <p>c) Data conversion has been completed successfully; any exceptions have been determined by HCFA to be low impact or low risk.</p>		Type A	A.10



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
				<ul style="list-style-type: none"> d) All checklist activities for operational readiness have been completed. e) Release notes have been developed to document functionality included in release. 			
Deliverable 35	Contingency/ Recovery Plan	All CPs will be reviewed and exercised annually.	<p>The Contingency/Recovery Plan establishes procedures to recover a system following a disruption. The Contingency/Recovery Plan. The Plan identifies the activities, resources, and procedures needed to carry out operations during prolonged interruptions to normal operations. The Plan also assigns responsibilities to designated personnel and provides guidance for recovering the system.</p> <p>CP Test Plan should be tested to identify and rectify deficiencies and planning shortfalls, NOT to ascertain the technical competence of personnel with recovery responsibilities.</p>	<ul style="list-style-type: none"> a) The Contingency/Recovery Plan defines the triggers that would initiate the contingency and recovery operations b) The Contingency/Recovery Plan outlines the individuals with the responsibility/authority to make the decision to initiate the Contingency/Recovery Plan c) The Contingency/Recovery Plan clearly outlines the steps and activities to be 	<ul style="list-style-type: none"> a) Disaster Recovery Plan b) Disaster Recovery Plan Test c) Business Continuity Plan d) Asset Management Plan e) Configuration Management Plan f) Business Continuity Test Plan g) Configuration Management Database h) Build Books for STS 	Type A	A.14



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			<p>The Business Owner, System Developer/Maintainer, Contingency Plan Coordinator, and SSO shall establish criteria and pre-developed test plan for validating/test CPs on an annual schedule, once every 365 days.</p> <p>CP Test After Action Report will be used for plan updates addressing any identified shortcomings.</p>	<p>taken in the event of a trigger.</p> <p>d) The Contingency/Recovery Plan outlines a dry run simulation of the contingency activities.</p> <p>e) The Contingency/Recovery Plan outlines the communication protocols and flows in the event the Contingency/Recovery Plan is evoked.</p> <p>f) The Contingency/Recovery Plan should include an approach to test the contingency plans.</p> <p>g) Contingency/Recovery Test After Action Report must be clearly defined.</p>			
Deliverable 36	Beta Test Plan	Once per release upon State approval	A Beta Test Plan is a test plan that is used to describe the methodologies, processes, and testing	a) The plan outlines methodologies and processes to be used.		Type A	A.16



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			that is expected to take place on a beta release (non-production release of full functionality).	<ul style="list-style-type: none"> b) The plan outlines specific testing activities to be performed, including expected outcomes. c) The plan outlines the individuals who will be involved in beta testing and the process for documenting identified issues. 			
Deliverable 37	Network Vulnerability Assessment Resolution Report	Once per release upon State approval	The Network Vulnerability Assessment Resolution Report outlines results of a network vulnerability assessment, the significance of findings, and the completed and planned actions to resolve identified vulnerabilities.	<ul style="list-style-type: none"> a) The Network Vulnerability Assessment Resolution Report includes a status on all open items identified in the assessment. b) The Network Vulnerability Assessment Resolution Report defines the anticipated approach and timeline for resolving open issues based on criticality and severity. c) The Network Vulnerability 	a) Software Assurance Misuse Cases	Type B	A.10 A.19



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
				Assessment Resolution Report indicates progress in resolving issues that were identified in previous assessments.			
Deliverable 38	Beta Test Evaluation Report	Once per release upon State approval	<p>A Beta Test Evaluation Report is a report that details the results of a Beta test release. The report will:</p> <ul style="list-style-type: none"> a) Compare actual results to expected results b) Identify major defects found with mitigation plans c) Capture feedback and pain points reported by the users testing the system 	<ul style="list-style-type: none"> a) The beta test report details the test environment (number of testers, types of machines used) that was used to execute the beta test b) The beta test details the key functionality that was tested c) The beta test compares actual test results with expected testing results d) Any new risks, issues, and defects found during testing have been properly identified, documented, and prioritized 		Type A	A.16



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
39	Privacy Impact Assessment	Reviewed annually or upon significant system change	Required of federally owned systems. The Privacy Impact Assessment (PIA) is designed to help states quickly identify and subsequently document the specific types of sensitive information that it will collect, process, and store. The Privacy Impact Assessment (PIAs) identifies systems that contain personally identifiable information (PII) and satisfies system compliance with all relevant privacy laws, regulations, and guidance. The PIA document ensures that privacy protections are incorporated into every stage of an IT system's life cycle, and measures the effectiveness of these protections.	<ul style="list-style-type: none"> a) The PIA approved by the HCFA Chief Privacy Officer b) The PIA is sufficient enough to be used to obtain an Authority to Operate (ATO) subject to review/approval by CMS 		Type B	A.10 A.19
Deliverable 40	Information Security Risk Assessment	As defined by CMS	Required of federally owned systems. The IS RA contains a list of threats and vulnerabilities, an evaluation of current security controls, their resulting risk levels, and any recommended safeguards to reduce risk exposure. The IS RA also supports risk management through the evaluation of risk impact	<ul style="list-style-type: none"> a) The IS RA contains a list of threats and vulnerabilities to the system b) The IS RA provides the results of an evaluation of current security controls and their resulting risk levels 	<ul style="list-style-type: none"> a) Information System Risk Assessment b) Information Security Risk Assessment 	Type B	A.19



Table	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			<p>upon the enterprise security model. It will be used for system certification and accreditation (C&A). CMS requires each Business Owner to develop or update an IS RA in response to each of the following events:</p> <ul style="list-style-type: none"> a) New system; b) Major business process or technology/system modification(s); c) Every third year of an operational system; d) Increase in security risks/exposure; e) Increase of overall system security level; and/or, f) Serious security violation(s) as described in the CMS g) Information Security Incident h) Handling and Breach Analysis/Notification Procedure 	<ul style="list-style-type: none"> c) The IS RA includes any recommended safeguards in an attempt to reduce risk exposure. d) The IS RA approved by the HCFA Chief Privacy Officer e) The IS RA is sufficient enough to be used to obtain an ATO subject to review/approval by CMS and required for Authority to Connect (ATC) 			



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
41	Data Use/Data Exchange/Interconnection Security Agreements	Once per release upon State approval	Information that is required to develop agreements between parties for the use of personal identifiable data, and to ensure secure data exchange. This includes information that the IRS Office of Safeguards expects from an agency regarding their procedures for safeguarding Federal Tax Information (FTI), in any instance where that agency intends to receive, store, process, or transmit FTI.	<ul style="list-style-type: none"> a) The document clearly delineates the roles and responsibilities between parties that are exchanging data b) The document sufficiently addresses the mechanisms for data exchange c) The document sufficiently addresses security controls in place by each party of the agreement, and how those controls will be used together to ensure a secure exchange of data d) The document has been signed by resources who have the proper authority to enter the organization into such agreement 		Type B	A.19
Deliverable 42	MARS-E Security Controls	System Security Plan should	The MARS-E Security Controls Document provides guidance to	a) The MARS-E Security Controls	a) SSP Workbook (Security	Type A	A.17 A.19



Item	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
		be reviewed and updated on an as needed basis, including annually, and when there are major system modifications that could potentially impact the security and privacy of the information system.	CMS and its contractors as to the minimum level of required security controls that must be implemented to protect CMS' information and information systems.	<ul style="list-style-type: none"> Document is compliant with the Minimum Acceptable Risks for Exchanges document b) Assessment of MARS-E compliance shall be done using NIST Publication SP 800-53A "Guide for Assessing the Security Controls in Federal Information Systems and Organizations" standards c) The document can be used to secure an ATO d) The document is signed by the HCFA Chief Security Officer 	<ul style="list-style-type: none"> Control Description) b) Business Risk Assessment (Security Awareness) Training Plan c) (Security Awareness) Training Result d) Computer Matching Agreement (CMA) 		
Deliverable 43	IRS Safeguards Procedures Report	The authorization shall occur every three (3) years or whenever there is a significant change to the control structure. A senior	Supports HCFA in attaining IRS certification for the Solution. Agencies executing data exchange agreements involving access to FTI and subject to safeguarding requirements must have an approved SSR prior to having access to FTI. Section 7 of Publication	<ul style="list-style-type: none"> a) The document is completed in time enough to provide the IRS the 90-day period needed before accessing FTI b) The document is completed using the IRS 		Type B	A.19



Table	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
		agency official shall sign and approve the security authorization. All information regarding the authorization shall be provided to the Office of Safeguards as part of the Safeguard Activity Report.	1075 outlines SSR Reporting Requirements — 6103(p) (4) (E): a) The agency should submit the report for approval at least 90 days prior to the agency receiving FTI. b) The agency must update and submit the SSR annually to encompass any changes that impact the protection of FTI. c) The SSR submission and all associated attachments must be sent annually to identify changes to safeguarding procedures.	SSR prescribed template c) The document is approved by the HCFA CFO prior to submission to the IRS subject to review/approval by CMS/IRS and required for ATC			
Deliverable 44	Site Readiness Reports	Once per release upon State approval	The Site Readiness Reports are based on the results of the site assessments and will address all remote sites in the State. Each Site Readiness Report will detail issues at each particular site and make recommendations on how each issue will be remedied before the	a) The Site Readiness Report addresses all of the readiness criteria b) The Site Readiness Report identifies deficiencies, remediation,		Type A	A.23



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			rollout of the new System.	and a recommendation on whether or when to proceed with implementation.			
Deliverable 45	System Operations Documentation	Once per release upon State approval	<p>The System Operations Documentation describes all required Systems operational activities and must encompass System functionality from a remote user's perspective, a State business user's perspective, and from an information technology and System operations perspective. These manuals must include:</p> <ul style="list-style-type: none"> a) A description of how to use the System based on user roles and responsibilities b) A list of prebuilt reports and their descriptions c) A description of all screens and how they are interrelated, and all help and navigation functions and how to use them d) A complete list of error 	<ul style="list-style-type: none"> a) The document addresses all areas of system operation, as prescribed in the description b) The document has been approved by the appropriate HCFA resources 	<ul style="list-style-type: none"> a) User Manuals b) Release Notes 	Type A	A.15



Table	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			<p>messages, their descriptions, and how to resolve the errors</p> <p>e) A list of all included System documentation and its use</p> <p>f) How to troubleshoot common System problems</p> <p>g) A description of the key data tables, elements, and their contents</p> <p>h) How to perform System maintenance functions like data backup and recovery, run batch processes (if applicable), perform data cleanup, and administer user accounts and permissions</p> <p>i) How to troubleshoot common System problems</p>				



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			<ul style="list-style-type: none"> j) A listing of all logs and how to interpret them k) Key System capacity and security management considerations l) Contact information for receiving support m) Where to find disaster recovery and business continuity information related to the System n) A listing of System interfaces and how to troubleshoot communications problems o) File descriptions p) System and System environment configuration baseline 				
Deliverable 46	System Maintenance, Support and System Transition Plan	Once per release upon State approval	The System Maintenance, Support and System Transition Plan must outline the transition of system Operations and Maintenance from the	a) The System Maintenance, Support and System Transition Plan will indicate the amount of	<ul style="list-style-type: none"> a) O&M Manual b) Service Transition Plan c) Standard Operating 	Type A	A.17 A.18



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			Vendor to the State's hosting model. The Plan should note all procedural, staffing, and resource requirements.	<p>dedicated resources providing O&M support, and how sufficient resources will be provided while in support of development activities for future releases.</p> <p>b) The System Maintenance, Support and System Transition Plan will identify all procedures and activities to be transitioned to O&M.</p>	Procedure Manual		
Deliverable 47	Infrastructure , System Source Code and Documentati on	Once per release upon State approval	This is the delivery to the State of written custom code, solutions, and documentation that a Contractor has bought or developed. Once the state has approved the Solution by way of successful testing and Gate Reviews, the Solution becomes State property.	a) The Solution has successfully made it through the formalized Gate Review process and testing and accepted by the state as an approved Solution	<p>a) Business Product</p> <p>b) Configuration Management Plan</p> <p>c) Configuration Management Database</p> <p>d) Data Dictionary</p>	Type A	A.18
Deliverable 48	Updated System Source Code and Design Documentati on	Once per release upon State approval	This is updated code, Solution, or documentation that the Contractor has updated from a prior release. Once the state has approved the changes to the Solution by way of	a) The Solution has successfully made it through the formalized Gate Review process and testing and accepted by the		Type A	A.18



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			successful testing and Gate Reviews, the Solution becomes State property.	state as an approved Solution			
Deliverable 49	Infrastructure Services Deployment Report	Once per release upon State approval	<p>The Infrastructure Services Deployment report must address the implementation of the following infrastructure services related to the System:</p> <ul style="list-style-type: none"> a) Remote Access Infrastructure b) Patch and Remote Security Management Infrastructure c) Service Desk Enhancements d) Code Migration Infrastructure e) Software Configuration Management Infrastructure f) Change and Release Management g) Data Retention and Archiving Infrastructure h) Performance Reporting Infrastructure 	a) The report includes the prescribed sections as described in the description	a) Infrastructure Services Deployment	Type A	A.10 A.17
Deliverable 50	Plan of Action and Milestones (POA&M)	Review and update Monthly and submit to	The Plan of Action and Milestones (POA&M) is a management process that outlines weaknesses	a) The POA&M contains findings from internal and	a) POA&M Management Plan	Type A	A.19



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
		CMS quarterly	and delineates the tasks, timeline and completion criteria necessary to mitigate them.	<ul style="list-style-type: none"> a) external audits, as well as issues that surfaced as part of the certification process b) All POA&Ms need to have a Corrective Action Plan which includes a root cause analysis, mitigation alternatives and risks associated with each, and strategies for preventing recurrence 			
Deliverable 51	Interconnected Systems Agreement (ISA)	ISAs need not be reissued unless a significant system change has occurred or three years have elapsed since issuance.	Interconnection Security Agreement (ISA) is to establish procedures for mutual cooperation and coordination between the Centers for Medicare & Medicaid Services (CMS) and the State. An ISA is required whenever the security policies of the interconnected systems are not identical and the systems are not administered by the same Authorizing Official. The ISA documents the security protections that must operate on interconnected systems	<ul style="list-style-type: none"> a) The ISA addresses the development, management, operation, and security of a connection between CMS and the State. b) The ISA contains a description of the information and data that will be made available, exchanged, or passed one-way only by the interconnection 	<ul style="list-style-type: none"> a) Security Control Assessment Report b) ATO Submission c) CMS CTO-issued ATO 	Type A	A.19



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			to ensure that transmission between systems permits only acceptable transactions. An ISA includes descriptive, technical, procedural, and planning information. It also formalizes the security understanding between the authorities responsible for the electronic connection between the systems. An ISA must be reissued whenever a significant change occurs to any of the interconnected systems.	<p>c) The ISA describes and documents the information handled by the system and the overall system security level as LOW, MODERATE or HIGH</p> <p>d) The ISA contains a topological drawing that illustrates the interconnectivity between both systems, including all components (e.g., firewalls, routers, switches, hubs, servers, encryption devices, and computer workstations). Subject to review/approval by CMS and required for ATC</p>			
Deliverable 52	SLA, System Performance, System QA Reports	Weekly and Monthly, based on type of SLA	These reports measure the systems adherence to the prescribed SLAs, tracks current system	a) The report provides metrics to show the systems		Type A	A.17



Item	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			performance, and system quality.	<ul style="list-style-type: none"> a) performance in reference to prescribed SLAs b) The report provides metrics to show the overall performance of the system c) The report includes metrics that demonstrates open defects, priority of defects, and the rate at which defects are being resolved 			
Deliverable 53	System Incident and Corrective Maintenance Reports	Monthly	The System Incident and Corrective Maintenance Report will outline corrective maintenance requests identified throughout the duration of the Warranty period. Each maintenance request will have a description, resolution status, and course of action for remedying all open maintenance requests.	<ul style="list-style-type: none"> a) The System Incident and Corrective Maintenance Report will include anticipated resolution times for all open corrective maintenance requests as well as root cause and number of impacted cases and/or members. b) The System Incident and Corrective Maintenance 		Type A	A.17



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
				<p>Report will link defects to the release for warranty tracking purposes.</p> <p>c) The System Incident and Corrective Maintenance Report includes ageing, criticality and severity, and an analysis approach to defect reporting.</p>			
Deliverable 54	Operations Report	Daily (Calendar Days) and Monthly	<p>The Daily and Monthly Operation Reports shall include:</p> <ul style="list-style-type: none"> a) Interface events/issues b) System event/issues c) Software event/issues d) Errors and Anomalies e) Transactions Sent and Received (Daily, Total Amount) f) Transaction Types g) Staffing/Operational Activities and Issues h) Number of notices/letters 	<p>a) The reports contain all of the required elements as agreed upon by HCFA and the Contractor.</p>	a) Security Monitoring Reports	Type A	A.17



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			<p>received and sent (including any/all reconciliation efforts)</p> <ul style="list-style-type: none"> i) Cumulative statistics and complete breakdown of all letters and notices by type j) Performance against SLA k) Average response times (for SLA validation) 				
Deliverable 55	AOA Report	Annual	<p>The AOA Report evaluates investment operational results against investment objectives.</p> <p>The AOA Report should include the following sections:</p> <ul style="list-style-type: none"> a) Overview b) Cost Benefit Analysis c) Schedule Analysis d) Performance Analysis e) Risk Analysis f) Improvement g) Recommendations and Approvals 	<ul style="list-style-type: none"> a) The document provides an overview of the current operation of the system and how it fits within the organization's investment objectives. b) The document includes all sections as prescribed in the document description c) The document has the necessary signatures 		Type A	A.10



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
56	Warranty Completion Report	Monthly until completion of warranty	Report validates that the hardware, customized IMS, and supporting software are performing in a stable manner. Report summarizes the current state of production including open issues, transition status and production environment performance statistics.	<ul style="list-style-type: none"> a) The report is produced while the Solution is still within the warranty period b) This report is sufficient enough to communicate needed fixes covered under the warranty 	<ul style="list-style-type: none"> a) Project Completion Report b) Project Closeout Report c) Disposition Plan 	Type A	A.26
Deliverable 57	Post Implementation Report	Once per release upon State approval	This Post Implementation Report results from monitoring the performance of the system/application during normal operations against original user requirements and any newly implemented requirements or changes.	<ul style="list-style-type: none"> a) The Post Implementation Report contains steps to gather and take action on lessons learned on activities executed in all Solution releases. b) The Post Implementation Report contains a User/Customer Assessment based on feedback received c) The Post Implementation Report contains a Performance Assessment d) The Post Implementation Report contains 		Type A	A.17



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
				<p>justification as to if the existing system should continue in operation as is, be enhanced, or terminated. If the system is to be enhanced or terminated, summarize the actions to be taken this fiscal year.</p>			
Deliverable 58	O&M Runbook	Monthly	<p>The O&M Runbook contains information and strategies designed to guide operational stakeholders in the normal use and maintenance of the Solution. The manual should be designed in a manner that facilitates actions and responses to anything that may arise during normal product operations and maintenance including but not limited to incident, problem, request, asset, event, and IT change management activities. The O&M Runbook guides those who maintain, support and/or use the system in a day-to-day operations environment.</p>	<ul style="list-style-type: none"> a) The O&M Runbook incorporates testing, training, and reinforcement exercises that are planned and implemented. b) The clarity and effectiveness of the O&M Runbook has been validated through sample testing by representative users. c) The O&M Runbook defines the target audience for specifies sections of the Runbook. d) The O&M Runbook 	<ul style="list-style-type: none"> a) Technology Change Management Plan b) Configuration Management Plan and Database c) Assets Management Plan d) Event Management Plan e) Incident Management Plan f) Problem Management Plan g) Request Management Plan 	Type C	A.17



Deliverable	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
				defines the necessary skills required to perform said activities.			
Deliverable 59	System Go-Live Report	Once per release upon State approval	The System Go-Live Report is a record of how the implementation went. The focus is on deviations from what was considered default or what was planned. This information is critical for a successful transition to maintenance. It is also useful for project closure and for archival for future projects.	<ul style="list-style-type: none"> a) Describes at a high level the major problems encountered during data conversion activities and corrective actions that were applied to solve them b) Describes at a high level the major problems encountered while establishing the Production Environment and corrective actions that were applied to solve them c) Describe at a high level the major problems encountered during the move of the application to the production environment and corrective actions that were applied to solve them 		Type B	A.17



able	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
bu	Operational Readiness Plan and Report	Once per release upon State approval	<p>The Operational Readiness Plan and Report details and reports how the system/application is put into Production without verification that it meets performance requirements and that the operation and maintenance procedures ensure prompt system recovery without loss of data.</p> <p>The Operational readiness plan provides a checklist and an approach for carrying out readiness assessments activities.</p> <p>The Operational readiness activities include a review of the integrity of system data (data cleansing) and readiness for data conversion.</p> <p>The Operational readiness plan provides a mechanism to identify areas of deficiencies with sufficient detail to allow the business unit to prepare an action plan in response to the deficiency.</p> <p>The Operational readiness plan defines a communication plan which identifies points of</p>	<ul style="list-style-type: none"> a) The Operational Support Plan been completed and signed off. b) The Plan should ensure that the transition and knowledge transfer has successfully been completed and/or a O&M Contractor is in place c) The technical policies and processes are successfully operated in production d) User IDs for all roles are setup 	<ul style="list-style-type: none"> a) Operational Readiness Plan and Report b) System of Record Notice c) Operational Readiness Checklist 	Type A	A.15



Item	Name	Frequency	Description	Exit Criteria	Artifacts	Review Cycle	Contract Section Reference
			contact for the relevant implementation stakeholders.				



A.28 Change Order – Special Projects & Enhancement

- A.28.1 Special Projects are additional projects that the State may, at its sole discretion, initiate and assign to the Contractor during the DDI phase of the Contract for the performance of services, fulfillment of additional requirements, or creation of deliverables (Services) outside those set forth in the DDI Scope of Services of this Contract.
- A.28.2 All Special Projects shall be associated with a Gate Review as determined by the State and not paid until approved as part of the Gate Review process.
- A.28.3 Enhancements are additional projects that the State may, at its sole discretion, initiate and assign to the Contractor during the O&M phase of the Contract for the performance of Services outside those set forth in the O&M Scope of Services of this Contract (See Section A.10.13.5).
- A.28.4 Following mutual agreement, Change Orders shall be implemented by a Control Memorandum as described in Section A.29.
- A.28.5 Change Order Creation – After receipt of a written request for the performance of Services, the Contractor shall respond to the State, within a maximum of ten (10) business days, with a written proposal for completing the Services. Contractor's proposal must specify:
- A.28.5.1 the effect, if any, of implementing the requested change(s) on all other services required under this Contract;
 - A.28.5.2 a description of the units of service needed to complete the Change Order;
 - A.28.5.3 the specific effort involved in completing the change(s);
 - A.28.5.4 the expected schedule for completing the change(s);
 - A.28.5.5 the maximum number of person hours required for the change(s); and
 - A.28.5.6 a fixed price for all Services under the Change Order. The fixed price for Enhancement Change Orders shall be based on the Contractor's hourly rates as detailed in Attachment 10 to this Contract, discounted by fifty percent (50%). The fixed price for all other Change Orders will be based on the undiscounted hourly rates as detailed in Contract Attachment 10. The maximum cost for the Services shall in no instance exceed the product of the person hours required multiplied by the appropriate payment rate proposed for such work.
- A.28.6 The Contractor shall not perform any Services under the Change Order until the State has approved the Change Order proposal. If approved, the State will sign the proposal, and it shall constitute a binding agreement between the Parties pertaining to the specified change(s) and shall, under this provision, be incorporated into this Contract by reference. Unless otherwise agreed in the applicable Change Order, all terms of this Contract, including but not limited to Warranty and Liquidated Damages shall apply to services provided under Change Orders.
- A.28.7 Change Order Performance— Subsequent to creation of a Change Order, the Contractor shall complete the required Services in accordance with the requirements of the Change



Order. The State shall be the sole judge of the acceptable completion of work and, upon such determination, shall provide the Contractor written approval.

- A.28.8 Change Order Remuneration— The State will remunerate the Contractor only for approved work. All approved work performed pursuant to an approved Change Order shall be remunerated in accordance with Contract Section C.3.c, PROVIDED THAT in no instance shall the State be liable to the Contractor for any amount exceeding the fixed price specified by the Change Order authorizing the goods or services. Upon State approval of the work, the Contractor shall invoice the State in accordance with the relevant provisions of this Contract.

A.29 Control Memorandum Process

- A.29.1 The Control Memorandum (“CM”) process shall be utilized by the State to clarify Contract requirements, issue instruction to the Contractor, document action required of the Contractor, or request information from the Contractor. In addition, the CM process shall be used by the State to impose assessments of damages, either actual or liquidated. This process will be used to address issues or matters that do not require a contract amendment. Each CM must be in writing and indicate the date on which it was issued. CMs may provide relevant history, background, and other pertinent information regarding the issue(s) being addressed in the CM. Each CM will establish a deadline or timeframe for the Contractor’s reply or other action. All CMs submitted to the Contractor must be signed and approved by the State’s Project Director (or his/her designee). When the CM pertains to damages, either actual or liquidated, the State may issue consecutive CMs, as may be necessary or appropriate.

- A.29.1.1 A CM may include one (1) or more of the following five (5) components of the CM process described below:
- a) On Request Report – a request directing the Contractor to provide information by the time and date set out in the CM.
 - b) Control Directive (CD) – instructions that require the Contractor to complete, within a designated timeframe, one (1) or more deliverables or to perform any other request from the State that is within the scope of the Contract. A CD may also provide clarification of certain Contract terms. Once a CM/CD has been issued, it shall be considered to be incorporated into this Contract.
 - c) Notice of Potential Damages (Actual or Liquidated) (NPD) – notification to the Contractor that the State has determined that a potential Contract performance or compliance issue exists and that the State is contemplating assessing damages, actual and/or liquidated. The NPD shall identify the Contract provision(s) on which the State determination rests. The State must issue a NPD within ninety (90) days of State’s actual knowledge of a potential Contract performance failure or compliance issue.
 - d) Notice of Calculation of Potential Damages (Actual or Liquidated) (NCPD) – notification to the Contractor that provides a calculation of the amount of potential damages, actual and/or liquidated, that the State is contemplating assessing against the Contractor. NPDs and NPCDs may be issued consecutively or simultaneously.
 - e) Notice of Intent to Assess Damages (Actual or Liquidated) (NIAD) – notification to the Contractor that the State is assessing damages and specifying whether the damages are actual damages, Liquidated Damages, or both, and setting out the performance or compliance issue underlying each intended damage assessment.



The NIAD shall identify the NPD and NCPD upon which it is based. The NIAD shall specify the total amount and type of damages, whether actual or liquidated, the State intends to assess. Following the issuance of an NIAD, the State may elect to withhold damages from payments due to Contractor. The State may not issue a NIAD without first issuing a NPD and a NPCD. The State may not obtain both Liquidated Damages and Actual Damages for the same occurrence of a Contract performance failure.

- A.29.2 Damages for failure to comply with CM. The Contractor shall fully comply with all CMs. Failure to do so may result in the State pursuing recovery of damages, as defined in Section E.10, including Liquidated Damages as listed in Contract Attachment 2, a corrective action plan, and/or termination of the Contract.
- A.29.3 Appeal of Damages by Contractor. Contractor may appeal either the basis for NPD or calculation of NCPD potential damages, either actual or liquidated. To do so, the Contractor shall submit to the State's Project Director (or his/her designee) a written response to the NPD and/or NCPD within ten (10) business days of receipt of a CM which includes a NPD or a NCPD. The State's Project Director (or his/her designee) shall review the appeal and provide notice of his/her determination to the Contractor through a CM. If the Contractor disagrees with the State's Project Director's (or his/her designee) initial appeal determination or the State's Project Director (or his/her designee) is unable to resolve the appeal, the Contractor may submit a written request to the State's Project Director (or his/her designee) that the matter be escalated to senior management of the Agency. Contractor shall submit such a request for escalation within ten (10) business days of its receipt of the initial appeal determination from the State's Project Director (or his/her designee) or of notification by the State's Project Director that he/she is unable to resolve the appeal. The State's senior management shall provide written notice of its final determination to the Contractor within (10) days of the receipt of the appeal from the Contractor. Upon appeal or escalation, the State shall not increase the amount of the potential damages.
- A.29.4 For purposes of clarification, (a) the Control Memorandum process alone may not be used as a substitute for the Change Order process in Section A.28, and (b) actual damages assessed pursuant to Section A.29.1.1(e) shall be retained by the State pending resolution of the dispute or claim giving rise thereto and final disposition of the funds has been determined.

A.30 Payment

- A.30.1 The standard method for payment under this Contract to Contractor is that payment shall be as outlined in Section C upon State certification of a successful unconditional pass of the Gate Review based upon the requirements for which Contractor is responsible (as described in Section C.3 below) and State approval of all deliverables associated with that Gate Review. Upon completion of both requirements, the State shall pay of 80% of the funds allocated to that Gate Review. 20% of the total monies due upon Gate Review approval will be withheld and disbursed as follows:
 - A.30.1.1 Fifty percent (50%) of the amount withheld upon the next Successful Release
 - A.30.1.2 Fifty percent (50%) of the amount withheld upon completion of the release's Warranty Period.
- A.30.2 Special Project Change Orders and shall be paid only upon the successful unconditional pass of the associated Gate Review based upon the requirements for which Contractor is responsible and State acceptance of all associated deliverables.



- A.30.3 Enhancement Change Orders shall only be paid upon Successful Release of the Enhancement functionality.
- A.30.4 The State shall not make payments for any deliverables, regardless of their approval status, until State certification of successful unconditional pass of the related Gate Review based upon the requirements for which Contractor is responsible.
- A.30.5 In the event that a Change Order necessitates changes to a deliverable approved in a previous Gate Review, the State shall consider these revised deliverables to be required deliverables associated with the next Gate Review or subject to State approval prior to enhancement release.
- A.30.6 Following Go-Live of the applicable Release, the Contractor shall begin monthly O&M reporting and the Contractor shall invoice the monthly O&M cost as described in Section C.3.
- A.30.7 In exceptional circumstances and solely on its own initiative and in the exercise of its own discretion, the State may alter the payment and withhold structure, set forth in Section A.30.1, under this Contract. Such alterations shall be governed by the Control Memorandum process and may include:
- A.30.7.1 The State may pay Contractor an amount in excess of the amount due at the time of a successful Gate Review, if the Contractor has completed a functionality or functionalities scheduled to be included in a later Gate Review. Any such excess amount will be deducted from the amount due to the Contractor upon the successful Gate Review that was originally intended to include that functionality or functionalities.
 - A.30.7.2 The State may alter the amount of the withhold, set out in Section A.30.1 by reducing the withhold amount or eliminating the withhold amount from any particular Gate Review Payment.
 - A.30.7.3 The State may reallocate certain amounts due under this Contract in order to compensate Contractor for completion of duties, tasks, or intermediate deliverables, either those unspecified as described in Section A.3 that are necessary to achieve success on this Contract or those specified in the Contract.
- A.30.8 In no event shall any alteration set out above:
- A.30.8.1 increase the total amount due to the Contractor from the State under this Contract;
 - A.30.8.2 result in a delay or reduction of any payment to the Contractor, except to the extent that funds have previously been paid to the Contractor as a result of an alteration; or
 - A.30.8.3 be used to compensate the Contractor for any work which has not been completed at the time that the alteration of the payment or withhold structure is made.
- A.30.9 The alteration to the payment and withhold structure shall be deemed to be made at the time that the State notifies the Contractor in writing that a decision to make such an alteration has been made.



A.30.10 The Contractor agrees and understands that the determination by the State that exceptional circumstance(s) exist (or do not exist) and the determination of the type, amount and timing of any alteration, if any, is the sole prerogative of the State and is not subject to any review.

A.31. Nondiscrimination Compliance Requirements. The Contractor shall comply with all applicable federal and state civil rights laws, regulations, rules, and policies and Contract Section D.9 of this Contract.

- a) On an annual basis, the Contractor's staff and subcontractors assigned to perform duties under the terms of this Contract shall receive nondiscrimination training. The Contractor shall be able to show documented proof that the training was made available to the Contractor's staff and to its subcontractors that are considered to be performing duties under this contract.
 - b) The Contractor shall keep such records as may be necessary in order to submit timely, complete and accurate compliance reports that may be requested by HHS, U.S. Department of Justice ("DOJ"), HCFA, or their designees. If requested, the information shall be provided in a format and timeframe specified by HHS, DOJ, HCFA. The requested information may be necessary to enable HHS, HCFA to ascertain whether the Contractor is complying with the applicable civil rights laws.
 - c) The Contractor shall permit access as set forth in the applicable civil rights laws to HHS, DOJ, HCFA, or their designees during normal business hours to such of its books, records, accounts, and other sources of information, and its facilities as may be pertinent to ascertain whether the Contractor is complying with the applicable civil rights laws.
 - d) Should a discrimination complaint be filed by a HCFA staff member or contractor alleging an incident claimed to be caused by either the Contractor's staff or one of its subcontractors who are considered to be performing duties under this contract, the Contractor shall work with HCFA to investigate and resolve the allegation. HCFA reserves the right to determine the complaint resolution and corrective action.
 - e) Electronic and Information Technology Accessibility Requirements. The Contractor agrees to comply with the electronic and information technology accessibility requirements under the federal civil rights laws including Section 504 and Section 508 of the Rehabilitation Act of 1973 ("Section 508") and the Americans with Disabilities Act. To comply with these accessibility requirements for Web content and non-Web electronic documents and software, the Contractor shall use W3C's Web Content Accessibility Guidelines ("WCAG") 2.0 AA (For the W3C's guidelines see: <http://www.w3.org/TR/WCAG20/>) (Two core linked resources are Understanding WCAG 2.0 <http://www.w3.org/TR/UNDERSTANDING-WCAG20/> and Techniques for WCAG 2.0 <http://www.w3.org/TR/WCAG20-TECHS/>).
- 1) Should the Contractor have a designated staff member responsible for Contractor's electronic and information technology accessibility compliance, the name and contact information for this individual shall be provided to HCFA within ten (10) days of the implementation of this Contract and within ten (10) days of this position being reassigned to another staff member.



- 2) Prior to the start of this Contract and on an annual basis thereafter, the Contractor's staff that is designated to work on HCFA's electronic and information technology projects shall receive training on electronic and information technology accessibility requirements. The Contractor shall be able to show documented proof that this training was provided. In addition, Contractor shall provide a copy of its electronic and information technology accessibility training to HCFA upon request.
- 3) Contractor agrees to perform regularly scheduled (i.e., automatic) scans and manual testing for WCAG 2.0 AA compliance for all user content and applications in order to meet the standards for compliance. The Contractor must ensure that any system additions, updates, changes or modifications comply with WCAG 2.0 AA. COTS products may be used to verify aspects of WCAG 2.0 AA compliance.
- 4) Additionally, the Contractor agrees to comply with Title VI of the Civil Rights Act of 1964. In order to achieve Title VI compliance the Contractor should add a system function that allows users to translate the content into a language other than English. This requirement may be satisfied by the provision of a link to Google translate or other machine translate tool.



B TERM OF CONTRACT:

- B.1 This Contract shall be effective for the period beginning on October 1, 2016 (“Effective Date”) and ending on September 30, 2020 (“Term”). The State shall have no obligation for goods or services provided by the Contractor prior to the Effective Date.
- B.2 Renewal Options. This Contract may be renewed upon satisfactory completion of the Term. The State reserves the right to execute up to three (3) renewal options under the same terms and conditions for a period not to exceed twelve (12) months each by the State, at the State’s sole option. In no event, however, shall the maximum Term, including all renewals or extensions, exceed a total of eighty-four (84) months.

C PAYMENT TERMS AND CONDITIONS:

- C.1 Maximum Liability In no event shall the maximum liability of the State under this Contract exceed One Hundred Twenty-Nine Million One Hundred Thirty Thousand Sixty-Five Dollars and Six Cents (\$129,130,065.06) (“Maximum Liability”). This Contract does not grant the Contractor any exclusive rights. The State does not guarantee that it will buy any minimum quantity of goods or services under this Contract. Subject to the terms and conditions of this Contract, the Contractor will only be paid for goods or services provided under this Contract after a purchase order is issued to Contractor by the State or as otherwise specified by this Contract.
- C.2 Compensation Firm The payment methodology in Section C.3. of this Contract shall constitute the entire compensation due the Contractor for all goods or services provided under this Contract regardless of the difficulty, materials or equipment required. The payment methodology includes all applicable taxes, fees, overhead, and all other direct and indirect costs incurred or to be incurred by the Contractor.
- C.3. Payment Methodology The Contractor shall be compensated based on the payment methodology for goods or services authorized by the State in a total amount as set forth in Section C.1.
 - a) The Contractor’s compensation shall be contingent upon the satisfactory provision of goods or services as set forth in Section A.
 - b) The Contractor shall be compensated based upon the following payment methodology:

Goods or Services Description	Amount (per compensable increment)
Release 1: Project Baseline Review (PBR)	\$ 709,957.07
Release 1: Preliminary Design Consult (PDC)	\$ 345,766.31
Release 1: Detailed Design Consult (DDC)	\$ 1,973,052.66
Release 1: Final Detailed Design Review	\$ 5,051,692.15
Release 1: Validation Readiness Review (VRR)	\$ 780,581.33



Goods or Services Description	Amount (per compensable increment)	
Release 1: Implementation Readiness Review (IRR)	\$ 2,369,154.99	
Release 1: Operational Readiness Review (ORR)	\$ 14,296,638.75	
Release 1: Post Implementation Review	\$ 1,749,584.89	
Release 1: First Go Live	\$ 3,409,553.52	
Release 1: End of the Warranty Period	\$ 3,409,553.52	
Release 2: Project Baseline Review (PBR)	\$ 841,190.52	
Release 2: Preliminary Design Consult (PDC)	\$ 412,011.22	
Release 2: Detailed Design Consult (DDC)	\$ 2,954,134.23	
Release 2: Final Detailed Design Review	\$ 6,926,439.54	
Release 2: Validation Readiness Review (VRR)	\$ 1,028,186.55	
Release 2: Implementation Readiness Review (IRR)	\$ 3,216,273.38	
Release 2: Operational Readiness Review (ORR)	\$ 19,571,016.30	
Release 2: Post Implementation Review – State	\$ 2,256,176.83	
Release 2: First Go Live	\$ 4,650,678.57	
Release 2: End of the Warranty Period	\$ 4,650,678.57	
Total DDI		\$80,602,320.93
Monthly O&M Services— Post Release 1, Month 1 through Month 12 (Year 2)	\$ 916,265.11 per month	
Monthly O&M Services— Post Release 1, Month 1 through 5 (Year 3)	\$ 916,265.11 per month	
Monthly O&M Services— Post Release 2, Month 1 through 7 (Year 3)	\$ 956,751.48 per month	
Monthly O&M Services— Post Release 2, Months 1 through 12 (Year 4)	\$ 956,751.48 per month	
Total O&M Services		\$33,754,784.99

- c) The Contractor shall be compensated for Special Project Change Orders and Enhancement Change Orders requested and performed pursuant to Contract Section A.28 without a formal amendment of this Contract based upon the fixed



price for such Change Orders, calculated as described in Section A.28.5.6, PROVIDED THAT:

- 1) compensation to the Contractor for Special Project Change Orders shall not exceed FIFTEEN PERCENT (15 %) of the sum of milestone payments detailed in Section C.3.b, above (which is the total cost for the milestones and associated deliverables set forth in the Table of Deliverables).
- 2) compensation to the Contractor for Enhancement Change Orders shall not exceed the total of the amounts contained in the Enhancements Tab of the Cost Proposal. Any increase above the original Maximum Amount for Enhancement Change Orders shall require an amendment to the Contract as described in Section C.3.(c)(3). Once the original Maximum Amount for Enhancement Change Orders has been exhausted, charges under Enhancement Change Orders shall be based on the hourly rates as detailed in Contract Attachment 10 and not subject to the fifty percent (50%) discount described in Section A.28.5.6.
- 3) If, at any point during the Term, the charges for necessary Special Projects or Enhancements work would exceed the applicable Maximum Amount, the State may amend this Contract to address the need. The State shall not be obligated to pay for, and the Contractor shall not be obligated to perform, Special Project or Enhancement work in excess of the applicable maximum amounts then in effect.

Service Description	Amount
Special Project Change Order Requests (Section A.28)	\$ 12,090,348.14 (15% of the sum of milestone payments reimbursed at hourly rates <i>submitted</i> in Cost Proposal for multiple staff levels)
Enhancement Change Order Request (Section A.10.13.5 and A.28)	\$ 2,682,611.00 (Total of the amounts contained in the Enhancements Tab of the Cost Proposal)
NOTE: The Contractor shall not be compensated for travel time to the primary location of service provision.	

- d) Should the State exercise its term extension options for additional three (3) years, the Contractor shall be compensated based on the following rates:

Service Description	Amount (per compensable increment)
Monthly O&M Services— Expansion Years (Year 5)	\$ 1,096,628.73 per month
Monthly O&M Services— Expansion Years (Year 6)	\$ 1,096,628.73 per month
Monthly O&M Services— Expansion Years (Year 7)	\$ 1,096,628.73 per month
NOTE: The Contractor shall not be compensated for travel time to the primary location of service provision.	



C.3 Travel Compensation. The Contractor shall not be compensated or reimbursed for travel time, travel expenses, meals, or lodging.

C.4 Invoice Requirements. The Contractor shall invoice the State only for goods delivered and accepted by the State or services satisfactorily provided at the amounts stipulated in Section C.3, above. If an invoice is for services rendered by Contractor's staff and subcontractors on a time and materials basis, the invoice shall, at a minimum, include the name of each individual, the individual's job family, the number of hours worked during the period, the applicable Payment Rate, the total compensation requested for the individual, and the total amount due the Contractor for the period invoices. Contractor shall submit invoices and necessary supporting documentation, no more frequently than once a month, and no later than thirty (30) days after the invoice-triggering event to the following address:

Division of Health Care Finance and Administration
310 Great Circle Road
Nashville, TN 37243

a) Each invoice, on Contractor's letterhead, shall clearly and accurately detail all of the following information (calculations must be extended and totaled correctly):

- 1) Invoice number (assigned by the Contractor);
- 2) Invoice date;
- 3) Contract number (assigned by the State);
- 4) Customer account name: State Agency & Division Name;
- 5) Customer account number (assigned by the Contractor to the above-referenced Customer);
- 6) Contractor name;
- 7) Contractor Tennessee Edison registration ID number;
- 8) Contractor contact for invoice questions (name, phone, or email);
- 9) Contractor remittance address;
- 10) Description of delivered goods or services provided and invoiced, including identifying information as applicable;
- 11) Number of delivered or completed units, increments, hours, or days as applicable, of each good or service invoiced;
- 12) Applicable payment methodology (as stipulated in Section C.3) of each good or service invoiced;
- 13) Amount due for each compensable unit of good or service; and
- 14) Total amount due for the invoice period.

b) Contractor's invoices shall:



- 1) Only include charges for goods delivered or services provided as described in Section A and in accordance with payment terms and conditions set forth in Section C;
 - 2) Only be submitted for goods delivered or services completed and shall not include any charge for future goods to be delivered or services to be performed;
 - 3) Not include Contractor's taxes, which includes without limitation Contractor's sales and use tax, excise taxes, franchise taxes, real or personal property taxes, or income taxes; and
 - 4) Include shipping or delivery charges only as authorized in this Contract.
- c) The timeframe for payment (or any discounts) begins only when the State is in receipt of an invoice that meets the minimum requirements of this Section C.5.
- C.5 Payment of Invoice. A payment by the State shall not prejudice the State's right to object to or question any payment, invoice, or other matter. A payment by the State shall not be construed as acceptance of goods delivered, any part of the services provided, or as approval of any amount invoiced.
- C.6 Invoice Reductions. The Contractor's invoice shall be subject to reduction for amounts included in any invoice or payment that is determined by the State, on the basis of audits conducted in accordance with the terms of this Contract, to not constitute proper compensation for goods delivered or services provided.
- C.7 Deductions. The State reserves the right to deduct from amounts, which are or shall become due and payable to the Contractor under this or any contract between the Contractor and the State of Tennessee, any amounts that are or shall become due and payable to the State of Tennessee by the Contractor.
- C.8 Prerequisite Documentation. The Contractor shall not invoice the State under this Contract until the State has received the following, properly completed documentation.
- a) The Contractor shall complete, sign, and present to the State the "Authorization Agreement for Automatic Deposit Form" provided by the State. By doing so, the Contractor acknowledges and agrees that, once this form is received by the State, payments to the Contractor, under this or any other contract the Contractor has with the State of Tennessee, may be made by Automated Clearing House; and
 - b) The Contractor shall complete, sign, and return to the State the State-provided W-9 form. The taxpayer identification number on the W-9 form must be the same as the Contractor's Federal Employer Identification Number or Social Security Number referenced in the Contractor's Edison registration information.

D MANDATORY TERMS AND CONDITIONS:

- D.1 Required Approvals. The State is not bound by this Contract until it is duly approved by the Parties and all appropriate State officials in accordance with applicable Tennessee laws and regulations. Depending upon the specifics of this Contract, this may include approvals by the Commissioner of Finance and Administration, the Commissioner of Human Resources, the Comptroller of the Treasury, and the Chief Procurement Officer. Approvals shall be evidenced by a signature or electronic approval.



D.2

Communications and Contacts. All instructions, notices, consents, demands, or other communications required or contemplated by this Contract shall be in writing and shall be made by certified, first class mail, return receipt requested and postage prepaid, by overnight courier service with an asset tracking system, or by email or facsimile transmission with recipient confirmation. All communications, regardless of method of transmission, shall be addressed to the respective Party at the appropriate mailing address, facsimile number, or email address as stated below or any other address provided in writing by a Party.

The State:

Wendy Long, M.D., Deputy Commissioner
Department of Finance and Administration
Division of Health Care Finance and Administration
310 Great Circle Road
Nashville, TN 37243
Wendy.long@tn.gov
Telephone # (615) 507-6444
FAX # (615) 253-6507

The Contractor:

Brad Eskind, Principal
Deloitte Consulting LLP
1033 Demonbreun Street
Suite 400
Nashville, TN 37203
beskind@deloitte.com

All instructions, notices, consents, demands, or other communications shall be considered effective upon receipt or recipient confirmation as may be required.

All information or data that is necessary for one or more deliverables set forth in this Contract shall be transmitted between HCFA and Contractor via the data transfer method specified in advance by HCFA. This may include, but shall not be limited to, transfer through HCFA's SFTP system. Failure by the Contractor to transmit information or data that is necessary for a deliverable in the manner specified by HCFA, may, at the option of HCFA, result in Liquidated Damages as set forth in Contract Attachment 2.

D.3

Modification and Amendment. This Contract may be modified only by a written amendment signed by all Parties and approved by all applicable State officials.

D.4

Subject to Funds Availability. The Contract is subject to the appropriation and availability of State or federal funds. In the event that the funds are not appropriated or are otherwise unavailable, the State reserves the right to terminate this Contract upon written notice to the Contractor. The State's exercise of its right to terminate this Contract shall not constitute a breach of Contract by the State. Upon receipt of the written notice, the Contractor shall cease all work associated with the Contract. If the State terminates this Contract due to lack of funds availability, the Contractor shall be entitled to compensation for all conforming goods requested and accepted by the State and for all satisfactory and authorized services completed as of the termination date. Should the State exercise its right to terminate this Contract due to unavailability of funds, the Contractor shall have no right to recover from the State any actual, general, special, incidental, consequential, or any other damages of any description or amount.



- D.5 Termination for Convenience. The State may terminate this Contract for convenience without cause and for any reason. The State shall give the Contractor at least thirty (30) days written notice before the termination date. The Contractor shall be entitled to compensation for all conforming goods delivered and accepted by the State or for satisfactory, authorized services completed as of the termination date. In no event shall the State be liable to the Contractor for compensation for any goods neither requested nor accepted by the State or for any services neither requested by the State nor satisfactorily performed by the Contractor. In no event shall the State's exercise of its right to terminate this Contract for convenience relieve the Contractor of any liability to the State for any damages or claims arising under this Contract.
- D.6 Termination for Cause. If the Contractor fails to properly perform its obligations under this Contract, or if the Contractor materially violates any terms of this Contract ("Breach Condition"), the State shall provide written notice to Contractor specifying the Breach Condition. If within ten (10) days of notice, the Contractor has not cured the Breach Condition, the State may terminate the Contract. Notwithstanding the above, the Contractor shall not be relieved of liability to the State for damages sustained by virtue of any breach of this Contract by the Contractor and the State may seek other remedies allowed at law or in equity for breach of this Contract. Contractor may terminate this Contract if the State materially violates any terms of this Contract and does not cure within sixty (60) days of receipt of notice thereof.
- D.7 Assignment and Subcontracting. The Contractor shall not assign this Contract or enter into a subcontract for any of the goods or services provided under this Contract without the prior written approval of the State. Notwithstanding any use of the approved subcontractors, the Contractor shall be the prime contractor and responsible for compliance with all terms and conditions of this Contract. The State reserves the right to request additional information or impose additional terms and conditions before approving an assignment of this Contract in whole or in part or the use of subcontractors in fulfilling the Contractor's obligations under this Contract.
- D.8 Conflicts of Interest. The Contractor warrants that no part of the Contractor's compensation shall be paid directly or indirectly to an employee or official of the State of Tennessee as wages, compensation, or gifts in exchange for acting as an officer, agent, employee, subcontractor, or consultant to the Contractor in connection with any work contemplated or performed under this Contract.

The Contractor acknowledges, understands, and agrees that this Contract shall be null and void if the Contractor is, or within the past six (6) months has been, an employee of the State of Tennessee or if the Contractor is an entity in which a controlling interest is held by an individual who is, or within the past six (6) months has been, an employee of the State of Tennessee.

- D.9 Nondiscrimination. The Contractor hereby agrees, warrants, and assures that no person shall be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of this Contract or in the employment practices of the Contractor on the grounds of handicap or disability, age, race, creed, color, religion, sex, national origin, or any other classification protected by federal or state law. The Contractor shall, upon request, show proof of nondiscrimination and shall post in conspicuous places, available to all employees and applicants, notices of nondiscrimination. In addition, the Contractor shall comply with the provisions of Contract Section A.31 (Nondiscrimination Compliance Requirements) and this Section D.9 shall not be deemed to limit or abridge any requirement set forth in Section A.31.
- D.10 Prohibition of Illegal Immigrants. The requirements of Tenn. Code Ann. § 12-3-309 addressing the use of illegal immigrants in the performance of any contract to supply goods or services to the state of Tennessee, shall be a material provision of this Contract, a breach of which shall be grounds for monetary and other penalties, up to and including termination of this Contract.

- a) The Contractor agrees that the Contractor shall not knowingly utilize the services of



an illegal immigrant in the performance of this Contract and shall not knowingly utilize the services of any subcontractor who will utilize the services of an illegal immigrant in the performance of this Contract. The Contractor shall reaffirm this attestation, in writing, by submitting to the State a completed and signed copy of the document at Contract Attachment 1, semi-annually during the Term. If the Contractor is a party to more than one contract with the State, the Contractor may submit one attestation that applies to all contracts with the State. All Contractor attestations shall be maintained by the Contractor and made available to State officials upon request.

- b) Prior to the use of any subcontractor in the performance of this Contract, and semi-annually thereafter, during the Term, the Contractor shall obtain and retain a current, written attestation that the subcontractor shall not knowingly utilize the services of an illegal immigrant to perform work under this Contract and shall not knowingly utilize the services of any subcontractor who will utilize the services of an illegal immigrant to perform work under this Contract. Attestations obtained from subcontractors shall be maintained by the Contractor and made available to State officials upon request.
- c) The Contractor shall maintain records for all personnel used in the performance of this Contract. Contractor's records shall be subject to review and random inspection at any reasonable time upon reasonable notice by the State.
- d) The Contractor understands and agrees that failure to comply with this section will be subject to the sanctions of Tenn. Code Ann. § 12-3-309 for acts or omissions occurring after its effective date.
- e) For purposes of this Contract, "illegal immigrant" shall be defined as any person who is not: (i) a United States citizen; (ii) a Lawful Permanent Resident; (iii) a person whose physical presence in the United States is authorized; (iv) allowed by the federal Department of Homeland Security and who, under federal immigration laws or regulations, is authorized to be employed in the U.S.; or (v) is otherwise authorized to provide services under the Contract.

- D.11 Records. The Contractor shall maintain documentation for all charges under this Contract. The books, records, and documents of the Contractor, for work performed or money received under this Contract, shall be maintained for a period of five (5) full years from the date of the final payment and shall be subject to audit at any reasonable time and upon reasonable notice by the State, the Comptroller of the Treasury, or their duly appointed representatives. The financial records shall be prepared in accordance with standard accounting principles.
- D.12 Monitoring. The Contractor's activities conducted and records maintained pursuant to this Contract shall be subject to monitoring and evaluation by the State, the Comptroller of the Treasury, or their duly appointed representatives.
- D.13 Progress Reports. The Contractor shall submit brief, periodic, progress reports to the State as requested.
- D.14 Strict Performance. Failure by any Party to this Contract to require, in any one or more cases, the strict performance of any of the terms, covenants, conditions, or provisions of this Contract shall not be construed as a waiver or relinquishment of any term, covenant, condition, or provision. No term or condition of this Contract shall be held to be waived, modified, or deleted except by a written amendment signed by the Parties.



- D.15 Independent Contractor. The Parties shall not act as employees, partners, joint venturers, or associates of one another. The Parties are independent contracting entities. Nothing in this Contract shall be construed to create an employer/employee relationship or to allow either Party to exercise control or direction over the manner or method by which the other transacts its business affairs or provides its usual services. The employees or agents of one Party are not employees or agents of the other Party.
- D.16 Patient Protection and Affordable Care Act. The Contractor agrees that it will be responsible for compliance with the Patient Protection and Affordable Care Act (PPACA) with respect to itself and its employees, including any obligation to report health insurance coverage, provide health insurance coverage, or pay any financial assessment, tax, or penalty for not providing health insurance. The Contractor shall indemnify the State and hold it harmless for any costs to the State arising from Contractor's failure to fulfill its PPACA responsibilities for itself or its employees.
- D.17 Limitation of State's Liability. The State shall have no liability except as specifically provided in this Contract. In no event will the State be liable to the Contractor or any other party for any lost revenues, lost profits, loss of business, decrease in the value of any securities or cash position, time, money, goodwill, or any indirect, special, incidental, punitive, exemplary or consequential damages of any nature, whether based on warranty, contract, statute, regulation, tort (including but not limited to negligence), or any other legal theory that may arise under this Contract or otherwise. The State's total liability under this Contract (including any exhibits, schedules, amendments or other attachments to the Contract) or otherwise shall under no circumstances exceed the Maximum Liability. This limitation of liability is cumulative and not per incident.
- D.18 Limitation of Contractor's Liability. The Contractor will have no liability for any consequential damages of any nature. In accordance with Tenn. Code Ann. § 12-3-701, the Contractor's liability for all claims arising under this Contract shall be limited to an amount equal to one and one half (1.5) times the Maximum Liability amount detailed in Section C.1. and as may be amended, PROVIDED THAT in no event shall this Section limit the liability of the Contractor for: (i) intellectual property or any Contractor indemnity obligations for infringement for third-party intellectual property rights; (ii) any claims for liquidated damages found in Sections A.17.8, A.22.1.2, A.22.4.5, A.22.10.4, A.26.2.4, A.29.2, D.2, E.18, and Tables 7 and 8 of Contract Attachment 2; or (iii) any claims for intentional torts, criminal acts, fraudulent conduct, or acts or omissions that result in personal injuries or death.
- D.19 Hold Harmless. The Contractor agrees to indemnify and hold harmless the State of Tennessee as well as its officers, agents, and employees from and against any and all liabilities, losses, and causes of action which may arise, accrue, or result to any third party (person, firm, corporation, or other entity) which may be injured or damaged as a result of acts, omissions, or negligence on the part of the Contractor, its employees, or any person acting for or on its or their behalf relating to this Contract. As clarification, Contractor shall not be obligated to indemnify and hold harmless for any such liabilities, losses, or causes of action as a result of acts, omissions, or negligence on the part of any person or entity other than Contractor, its employees, or any person acting for on Contractor's behalf relating to this Contract. The Contractor further agrees it shall be liable for the reasonable cost of attorneys for the State to enforce the terms of this Contract.

In the event of any suit or claim, the Parties shall give each other immediate notice and provide all necessary assistance to respond. The failure of the State to give notice shall only relieve the Contractor of its obligations under this Section to the extent that the Contractor can demonstrate actual prejudice arising from the failure to give notice. This Section shall not grant the Contractor, through its attorneys, the right to represent the State in any legal matter, as the right to represent the State is governed by Tenn. Code Ann. § 8-6-106.



D.20 HIPAA Compliance. The State and Contractor shall comply with obligations under the Health Insurance Portability and Accountability Act of 1996 (“HIPAA”), Health Information Technology for Economic and Clinical Health (“HITECH”) Act and any other relevant laws and regulations regarding privacy (collectively the “Privacy Rules”). The obligations set forth in this Section shall survive the termination of this Contract.

- a) Contractor warrants to the State that it is familiar with the requirements of the Privacy Rules, and will comply with all applicable requirements in the course of this Contract.
- b) Contractor warrants that it will cooperate with the State, including cooperation and coordination with State privacy officials and other compliance officers required by the Privacy Rules, in the course of performance of the Contract so that both parties will be in compliance with the Privacy Rules.
- c) The State and the Contractor will sign documents, including but not limited to business associate agreements, as required by the Privacy Rules and that are reasonably necessary to keep the State and Contractor in compliance with the Privacy Rules. This provision shall not apply if information received or delivered by the parties under this Contract is NOT “protected health information” as defined by the Privacy Rules, or if the Privacy Rules permit the parties to receive or deliver the information without entering into a business associate agreement or signing another document.
- d) The Contractor will indemnify the State and hold it harmless for any violation by the Contractor or its subcontractors of the Privacy Rules. This includes the costs of responding to a breach of protected health information, the costs of responding to a government enforcement action related to the breach, and any fines, penalties, or damages paid by the State because of the violation.

D.21 Tennessee Consolidated Retirement System. Subject to statutory exceptions contained in Tenn. Code Ann. §§ 8-36-801, *et seq.*, the law governing the Tennessee Consolidated Retirement System (“TCRS”), provides that if a retired member of TCRS, or of any superseded system administered by TCRS, or of any local retirement fund established under Tenn. Code Ann. §§ 8-35-101, *et seq.*, accepts State employment, the member’s retirement allowance is suspended during the period of the employment. Accordingly and notwithstanding any provision of this Contract to the contrary, the Contractor agrees that if it is later determined that the true nature of the working relationship between the Contractor and the State under this Contract is that of “employee/employer” and not that of an independent contractor, the Contractor, if a retired member of TCRS, may be required to repay to TCRS the amount of retirement benefits the Contractor received from TCRS during the Term.

D.22 Tennessee Department of Revenue Registration. The Contractor shall comply with all applicable registration requirements contained in Tenn. Code Ann. §§ 67-6-601 – 608. Compliance with applicable registration requirements is a material requirement of this Contract.

D.23 Debarment and Suspension. The Contractor certifies, to the best of its knowledge and belief, that it, its current and future principals, its current and future subcontractors hereunder and their principals:

- a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal or state department or agency;
- b) have not within a three (3) year period preceding this Contract been convicted of, or



had a civil judgment rendered against them from commission of fraud, or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or grant under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements, or receiving stolen property;

- c) are not presently indicted or otherwise criminally or civilly charged by a government entity (federal, state, or local) with commission of any of the offenses detailed in section b. of this certification; and
- d) have not within a three (3) year period preceding this Contract had one or more public transactions (federal, state, or local) terminated for cause or default.

The Contractor shall provide immediate written notice to the State if at any time it learns that there was an earlier failure to disclose information or that due to changed circumstances, its principals or the principals of its subcontractors are excluded or disqualified.

- D.24 Force Majeure. "Force Majeure Event" means fire, flood, earthquake, elements of nature or acts of God, wars, riots, civil disorders, rebellions or revolutions, acts of terrorism or any other similar cause beyond the reasonable control of the Party except to the extent that the non-performing Party is at fault in failing to prevent or causing the default or delay, and provided that the default or delay cannot reasonably be circumvented by the non-performing Party through the use of alternate sources, workaround plans or other means. A strike, lockout or labor dispute shall not excuse either Party from its obligations under this Contract. Except as set forth in this Section, any failure or delay by a Party in the performance of its obligations under this Contract arising from a Force Majeure Event is not a default under this Contract or grounds for termination. The non-performing Party will be excused from performing those obligations directly affected by the Force Majeure Event, and only for as long as the Force Majeure Event continues, provided that the Party continues to use diligent, good faith efforts to resume performance without delay. The occurrence of a Force Majeure Event affecting Contractor's representatives, suppliers, subcontractors, customers or business apart from this Contract is not a Force Majeure Event under this Contract. Contractor will promptly notify the State of any delay caused by a Force Majeure Event (to be confirmed in a written notice to the State within one (1) day of the inception of the delay) that a Force Majeure Event has occurred, and will describe in reasonable detail the nature of the Force Majeure Event. If any Force Majeure Event results in a delay in Contractor's performance longer than forty-eight (48) hours, the State may, upon notice to Contractor: (a) cease payment of the fees for the affected obligations until Contractor resumes performance of the affected obligations; or (b) immediately terminate this Contract or any purchase order, in whole or in part, without further payment except for fees then due and payable. Contractor will not increase its charges under this Contract or charge the State any fees other than those provided for in this Contract as the result of a Force Majeure Event.
- D.25 State and Federal Compliance. The Contractor shall comply with all applicable state and federal laws and regulations in the performance of this Contract. In addition, the Contractor shall comply with the provisions of Contract Section E.14, (Applicable Laws, Rules, Policies and Court Orders), and this Section D.25 shall not be deemed to limit or abridge any requirement set forth in Section E.14.
- D.26 Governing Law. This Contract shall be governed by and construed in accordance with the laws of the State of Tennessee. The Tennessee Claims Commission or the state or federal courts in Tennessee shall be the venue for all claims, disputes, or disagreements arising under this Contract. The Contractor acknowledges and agrees that any rights, claims, or remedies against the State of Tennessee or its employees arising under this Contract shall be subject to and limited to those rights and remedies available under Tenn. Code Ann. §§ 9-8-101 – 407.



- D.27 Entire Agreement. This Contract is complete and contains the entire understanding between the Parties relating to its subject matter, including all the terms and conditions of the Parties' agreement. This Contract supersedes any and all prior understandings, representations, negotiations, and agreements between the Parties, whether written or oral.
- D.28 Severability. If any terms and conditions of this Contract are held to be invalid or unenforceable as a matter of law, the other terms and conditions of this Contract shall not be affected and shall remain in full force and effect. The terms and conditions of this Contract are severable.
- D.29 Headings. Section headings of this Contract are for reference purposes only and shall not be construed as part of this Contract.
- D.30 Incorporation of Additional Documents. Each of the following documents is included as a part of this Contract by reference. In the event of a discrepancy or ambiguity regarding the Contractor's duties, responsibilities, and performance under this Contract, these items shall govern in order of precedence below:
- a) any amendment to this Contract, with the latter in time controlling over any earlier amendments;
 - b) this Contract with any attachments or exhibits (excluding the items listed at subsections c. through f., below), which includes Contract Attachments 1 through 7 below;
 - c) any clarifications of or addenda to the Contractor's proposal seeking this Contract;
 - d) the State solicitation, as may be amended, requesting responses in competition for this Contract;
 - e) any technical specifications provided to proposers during the procurement process to award this Contract; and
 - f) the Contractor's response seeking this Contract.
- D.31 Insurance. Contractor shall provide the State a certificate of insurance ("COI") evidencing the coverages and amounts specified below. The COI shall be provided ten (10) business days prior to the Effective Date and again upon renewal or replacement of coverages required by this Contract. If insurance expires during the Term, the State must receive a new COI at least thirty (30) calendar days prior to the insurance's expiration date. If the Contractor loses insurance coverage, does not renew coverage, or for any reason becomes uninsured during the Term, the Contractor shall notify the State immediately.

The COI shall be on a form approved by the Tennessee Department of Commerce and Insurance ("TDCI") and signed by an authorized representative of the insurer. The COI shall list each insurer's national association of insurance commissioners (also known as NAIC) number or federal employer identification number and list the State of Tennessee, Risk Manager, 312 Rosa Parks Ave., 3rd floor Central Procurement Office, Nashville, TN 37243 in the certificate holder section. At any time, the State may require the Contractor to provide a valid COI detailing coverage description; insurance company; policy number; exceptions; exclusions; policy effective date; policy expiration date; limits of liability; and the name and address of insured. The Contractor's failure to maintain or submit evidence of insurance coverage is considered a material breach of this Contract.



If the Contractor desires to self-insure, then a COI will not be required to prove coverage. In place of the COI, the Contractor must provide a certificate of self-insurance or a letter on the Contractor's letterhead detailing its coverage, liability policy amounts, and proof of funds to reasonably cover such expenses. Compliance with Tenn. Code Ann. § 50-6-405 and the rules of the TDCI is required for the Contractor to self-insure workers' compensation.

All insurance companies must be: (a) acceptable to the State as determined by the ratings in (c); (b) authorized by the TDCI to transact business in the State of Tennessee; and (c) rated A- VII or better by A. M. Best or the equivalent rating from a nationally recognized rating firm. The Contractor shall provide the State evidence that all subcontractors maintain the required insurance or that the subcontractors maintain insurance commensurate with the risks presented by their performance of services under contract or agreement or are included under the Contractor's policy.

The Contractor agrees to name the State as an additional insured on any insurance policies with the exception of workers' compensation (employer liability) and professional liability (errors and omissions) ("Professional Liability") insurance. Also, all policies shall contain an endorsement for a waiver of subrogation in favor of the State.

The deductible and any premiums are the Contractor's sole responsibility. The Contractor agrees that the insurance requirements specified in this Section do not reduce any liability the Contractor has assumed under this Contract including any indemnification or hold harmless requirements.

The State agrees that it shall give written notice to the Contractor as soon as practicable after the State becomes aware of any claim asserted or made against the State, but in no event later than thirty (30) calendar days after the State becomes aware of such claim. The failure of the State to give notice shall only relieve the Contractor of its obligations under this Section to the extent that the Contractor can demonstrate actual prejudice arising from the failure to give notice. This Section shall not grant the Contractor or its insurer, through its attorneys, the right to represent the State in any legal matter, as the right to represent the State is governed by Tenn. Code Ann. § 8-6-106

All coverage required shall be on a primary basis and noncontributory with any other insurance coverage or self-insurance carried by the State with respect to the State's status as an additional insured. The State reserves the right to amend or require additional endorsements, types of coverage, and higher or lower limits of coverage depending on the nature of the work. Purchases or contracts involving any hazardous activity or equipment, tenant, concessionaire and lease agreements, alcohol sales, cyber-liability risks, environmental risks, special motorized equipment, or property may require customized insurance requirements (e.g. umbrella liability insurance) in addition to the general requirements listed below.

a. Commercial General Liability Insurance

1. The Contractor shall maintain commercial general liability insurance, which shall be written on an Insurance Services Office, Inc. (also known as ISO) occurrence form (or a substitute form providing equivalent coverage) and shall cover liability arising from property damage, premises/operations, independent contractors, contractual liability, completed operations/products, personal and advertising injury, and liability assumed under an insured contract (including the tort liability of another assumed in a business contract).
2. The Contractor shall maintain bodily injury/property damage with a combined single limit not less than one million dollars (\$1,000,000) per occurrence and



two million dollars (\$2,000,000) aggregate for bodily injury and property damage, including products and completed operations coverage with an aggregate limit of at least two million dollars (\$2,000,000).

b. Workers' Compensation and Employer Liability Insurance

1. For Contractors statutorily required to carry workers' compensation and employer liability insurance, the Contractor shall maintain:
 - i. Workers' compensation in a statutory amount; one million dollars (\$1,000,000) including employer liability of one million dollars (\$1,000,000) per accident for bodily injury by accident, one million dollars (\$1,000,000) policy limit by disease, and one million dollars (\$1,000,000) per employee for bodily injury by disease.
2. If the Contractor certifies that it is exempt from the requirements of Tenn. Code Ann. §§ 50-6-101 – 103, then the Contractor shall furnish written proof of such exemption for one or more of the following reasons:
 - i. The Contractor employs fewer than five (5) employees;
 - ii. The Contractor is a sole proprietor;
 - iii. The Contractor is in the construction business or trades with no employees;
 - iv. The Contractor is in the coal mining industry with no employees;
 - v. The Contractor is a state or local government; or
 - vi. The Contractor self-insures its workers' compensation and is in compliance with the TDCI rules and Tenn. Code Ann. § 50-6-405.

E SPECIAL TERMS AND CONDITIONS:

- E.1 Conflicting Terms and Conditions. Should any of these special terms and conditions conflict with any other terms and conditions of this Contract, the special terms and conditions shall be subordinate to the Contract's other terms and conditions.



E.2 Confidentiality of Records. Strict standards of confidentiality of records and information shall be maintained in accordance with applicable state and federal law. All material and information, regardless of form, medium or method of communication, provided to the Contractor by the State or acquired by the Contractor on behalf of the State that is regarded as confidential under state or federal law shall be regarded as “Confidential Information.” Nothing in this Section shall permit Contractor to disclose any Confidential Information, regardless of whether it has been disclosed or made available to the Contractor due to intentional or negligent actions or inactions of agents of the State or third parties. Confidential Information shall not be disclosed except as required or permitted under state or federal law. The Contractor shall only use Confidential Information for activities pursuant to and related to the performance of the Contract. Contractor shall take all necessary steps to safeguard the confidentiality of such material or information in conformance with applicable state and federal law.

The obligations set forth in this Section shall survive the termination of this Contract.

E.3 State Ownership of Goods. The State shall have ownership, right, title, and interest in all goods provided by Contractor under this Contract including full rights to use the goods and transfer title in the goods to any third parties.

E.4 Ownership of Software and Work Products.

a) Definitions.

- 1) “Contractor-Owned Software,” shall mean commercially available software the rights to which are owned by Contractor, including but not limited to commercial off-the-shelf software which is not developed using State’s money or resources.
- 2) “Custom-Developed Application Software,” shall mean customized application software developed by Contractor solely for State.
- 3) “Third-Party Software,” shall mean software not owned by the State or the Contractor.
- 4) “Work Product,” shall mean all software, software source code, documentation, planning, and other intellectual property, including but not limited to intellectual property for COTS customizations, that are created, designed, developed, or documented by the Contractor exclusively for the State during the course of the project using State’s money or resources, including Custom-Developed Application Software. Work Product shall not include Contractor-Owned Software or Third-Party Software.

b) Rights and Title to the Software

- 1) All right, title and interest in and to the Contractor-Owned Software shall at all times remain with Contractor, subject to any license granted under this Contract. Upon successful unconditional pass of the associated Gate Review based upon the requirements for which Contractor is responsible, Contractor shall grant to the State a worldwide, nonexclusive, royalty-free, perpetual, irrevocable (with right to sublicense and the right of sublicensees to sublicense further) license to the Contractor-Owned Software and related source code and intellectual property rights to the extent necessary for the State’s use of the Solution.



- 2) All right, title and interest in and to the Work Product, and to modifications thereof made by State, including without limitation all copyrights, patents, trade secrets and other intellectual property and other proprietary rights embodied by and arising out of the Work Product, shall belong to State upon successful unconditional pass of the associated Gate Review based upon the requirements for which Contractor is responsible. To the extent such rights do not automatically belong to State, then upon successful unconditional pass of the associated Gate Review based upon the requirements for which Contractor is responsible, Contractor hereby assigns, transfers, and conveys all right, title and interest in and to the Work Product, including without limitation the copyrights, patents, trade secrets, and other intellectual property rights arising out of or embodied by the Work Product. Contractor and its employees, agents, contractors or representatives shall execute any other documents that State or its counsel deem necessary or desirable to document this transfer or allow State to register its claims and rights to such intellectual property rights or enforce them against third parties.
- 3) All right, title and interest in and to the Third-Party Software shall at all times remain with the third party, subject to any license granted under this Contract.
 - c) The Contractor may use for its own purposes the general knowledge, skills, experience, ideas, concepts, know-how, and techniques obtained and used during the course of performing under this Contract. The Contractor may develop for itself, or for others, materials which are similar to or competitive with those that are produced under this Contract.
 - d) Notwithstanding anything to the contrary in this Section, (i) the State shall have all ownership rights in software or modifications thereof and associated documentation that is designed, developed, installed, or improved hereunder with Federal Financial Participation under 45 C.F.R. 95.617 and 45 C.F.R. 92.34, and the Federal government reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use and to authorize others to use for Federal Government purposes, such software, modifications, and documentation.
 - e) The State hereby grants to Contractor a worldwide, nonexclusive, royalty-free, perpetual, irrevocable (with right to sublicense and the right of sublicensees to sublicense further) license to the Work Product and related intellectual property rights, including the right to create derivative works based on and otherwise modify, make, reproduce, sell or otherwise distribute, perform or display the Work Product and other works or subject matter based on or using such intellectual property rights.
 - f) Any pre-existing non-software intellectual property owned by Contractor shall remain property of Contractor. To the extent that the State requires such non-software intellectual property to use the Solution hereunder, Contractor shall grant a license to such non-software consulting intellectual property in accordance with E.4.b.1.

E.5 State Furnished Property. The Contractor shall be responsible for the correct use, maintenance, and protection of all articles of nonexpendable, tangible personal property furnished by the State for the Contractor's use under this Contract. Upon termination of this Contract, all property furnished by the State shall be returned to the State in the same condition as when received, less reasonable wear and tear. Should the property be destroyed, lost, or stolen, the Contractor shall be responsible to the State for the fair market value of the property at the time of loss.



- E.6 Work Papers Subject to Review. The Contractor shall make all audit, accounting, or financial analysis work papers, notes, and other documentation available for review by the Comptroller of the Treasury or his representatives, upon request, during normal working hours either while the analysis is in progress or subsequent to the completion of this Contract.
- E.7 Prohibited Advertising or Marketing. The Contractor shall not suggest or imply in advertising or marketing materials that Contractor's goods or services are endorsed by the State. The restrictions on Contractor advertising or marketing materials under this Section shall survive the termination of this Contract.
- E.8 Lobbying. The Contractor certifies, to the best of its knowledge and belief, that:
- a) No federally appropriated funds have been paid or will be paid, by or on behalf of the Contractor, to any person for influencing or attempting to influence an officer or employee of an agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
 - b) If any funds other than federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with any contract, grant, loan, or cooperative agreement, the Contractor shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
 - c) The Contractor shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into and is a prerequisite for making or entering into this transaction imposed by 31 USC § 1352.

- E.9 Intellectual Property. The Contractor agrees to indemnify and hold harmless the State of Tennessee as well as its officers, agents, and employees from and against any and all claims or suits which may be brought against the State concerning or arising out of any claim of an alleged patent, copyright, trade secret or other intellectual property infringement by Contractor's deliverables hereunder. In any such claim or action brought against the State, the Contractor shall satisfy and indemnify the State for the amount of any settlement or final judgment, and the Contractor shall be responsible for all reasonable legal or other fees or expenses incurred by the State arising from any such claim. The State shall give the Contractor notice of any such claim or suit and full right and opportunity to conduct the Contractor's own defense thereof, however, the failure of the State to give such notice shall only relieve Contractor of its obligations under this Section to the extent Contractor can demonstrate actual prejudice arising from the State's failure to give notice. This Section shall not grant the Contractor, through its attorneys, the right to represent the State of Tennessee in any legal matter, as provided in Tenn. Code Ann. § 8-6-106.



In addition to the above indemnity, if the State's use of any deliverable, or any portion thereof, provided under this Contract, is or is likely to be enjoined by order of a court of competent jurisdiction as such an infringement or unauthorized use, the Contractor, at its expense, shall (x) procure for the State the continued use of such deliverable, (y) replace such deliverable with a non-infringing counterpart, or (z) modify such deliverable so it becomes non-infringing; provided that, if (y) or (z) is the option chosen by the Contractor, the replacement or modified deliverable must be capable of performing substantially the same function. Notwithstanding the foregoing, the State retains the right to terminate the Contract in accordance with Section D.6 hereunder in the event of such infringement or unauthorized use.

The forgoing indemnity does not apply to the extent that the infringement arises from the State's (i) use of the deliverable not in accordance with instructions, documentations, or specifications ("Misuse"), (ii) alteration, modification or revision of the deliverables not expressly authorized by the Contractor ("Alteration"), (iii) failure to use or implement corrections or enhancements to the deliverables made available by the Contractor to the State at no additional cost to the State, except where such failure to use or implement corrections or enhancements is a result of State's termination in accordance with the preceding paragraph, or (iv) combination of the deliverables with materials not provided, specified, or approved by the Contractor.

E.10 Liquidated Damages.

In the event of a Contract performance failure, the State may, but is not obligated to address such Contract performance failure and/or assess damages ("Liquidated Damages") in accordance with Attachment 2 of the Contract. The State shall notify the Contractor of any amounts to be assessed as Liquidated Damages. The Parties agree that due to the complicated nature of the Contractor's obligations under this Contract it would be difficult to specifically designate a monetary amount for a Contract performance failure, as these amounts are likely to be uncertain and not easily proven. Contractor has carefully reviewed the Liquidated Damages contained in Contract Attachment 2 and agrees that these amounts represent a reasonable relationship between the amount and what might reasonably be expected in the event of a Liquidated Damages Event, are a reasonable estimate of the damages that would occur from a Contract performance failure, and are not punitive. The Parties agree that although the Liquidated Damages represent the reasonable estimate of the damages and injuries sustained by the State due to the Contract performance failure, they do not include any injury or damage sustained by a third party. The Contractor agrees that the Liquidated Damages are in addition to any amounts Contractor may owe the State pursuant to the indemnity provision or any other sections of this Contract.

The State is not obligated to assess Liquidated Damages as a result of a Contract performance failure before availing itself of any other remedy. In the event of multiple Contract performance failures, the Parties recognize that the cumulative effect of these Contract performance failures may exceed the compensation of Liquidated Damages. In that event, the State may choose to avail itself of any other remedy available under this Contract or at law or equity. The Parties further recognize that the State may not obtain both Liquidated Damages and Actual Damages for the same occurrence of a Contract performance failure.

Without regard to whether the State has imposed Liquidated Damages or pursued any other remedy due to any action or inaction by the Contractor, the State may impose a corrective action plan or similar measure through a Control Memorandum. Such measure is neither punitive nor related to any damages the State might suffer.



- E.11 Partial Takeover of Contract. The State may, at its convenience and without cause, exercise a partial takeover of any service that the Contractor is obligated to perform under this Contract, including any service which is the subject of a subcontract between Contractor and a third party (a "Partial Takeover"). A Partial Takeover of this Contract by the State shall not be deemed a breach of contract. The Contractor shall be given at least thirty (30) days prior written notice of a Partial Takeover. The notice shall specify the areas of service the State will assume and the date the State will be assuming. The State's exercise of a Partial Takeover shall not alter the Contractor's other duties and responsibilities under this Contract. The State reserves the right to withhold from the Contractor any amounts the Contractor would have been paid but for the State's exercise of a Partial Takeover. The amounts shall be withheld effective as of the date the State exercises its right to a Partial Takeover. The State's exercise of its right to a Partial Takeover of this Contract shall not entitle the Contractor to any actual, general, special, incidental, consequential, or any other damages irrespective of any description or amount.
- E.12 Personally Identifiable Information. While performing its obligations under this Contract, Contractor may have access to Personally Identifiable Information held by the State ("PII"). For the purposes of this Contract, "PII" means "Nonpublic Personal Information" as that term is defined in Title V of the Gramm-Leach-Bliley Act of 1999 or any successor federal statute, and the rules and regulations thereunder, all as may be amended or supplemented from time to time ("GLBA") and personally identifiable information and other data protected under any other applicable laws, rule or regulation of any jurisdiction relating to disclosure or use of personal information ("Privacy Laws"). Contractor agrees it shall not do or omit to do anything which would cause the State to be in breach of any Privacy Laws. Contractor shall, and shall cause its employees, agents and representatives to: (i) keep PII confidential and may use and disclose PII only as necessary to carry out those specific aspects of the purpose for which the PII was disclosed to Contractor and in accordance with this Contract, GLBA and Privacy Laws; and (ii) implement and maintain appropriate technical and organizational measures regarding information security to: (A) ensure the security and confidentiality of PII; (B) protect against any threats or hazards to the security or integrity of PII; and (C) prevent unauthorized access to or use of PII. Contractor shall immediately notify State: (1) of any disclosure or use of any PII by Contractor or any of its employees, agents and representatives in breach of this Contract; and (2) of any disclosure of any PII to Contractor or its employees, agents and representatives where the purpose of such disclosure is not known to Contractor or its employees, agents and representatives. The State reserves the right to review Contractor's policies and procedures used to maintain the security and confidentiality of PII and Contractor shall, and cause its employees, agents and representatives to, comply with all reasonable requests or directions from the State to enable the State to verify and/or procure that Contractor is in full compliance with its obligations under this Contract in relation to PII. Upon termination or expiration of the Contract or at the State's direction at any time in its sole discretion, whichever is earlier, Contractor shall immediately return to the State any and all PII which it has received under this Contract and shall destroy all records of such PII.

The Contractor shall report to the State any instances of unauthorized access to or potential disclosure of PII in the custody or control of Contractor ("Unauthorized Disclosure") that come to the Contractor's attention. Any such report shall be made by the Contractor within twenty-four (24) hours after the Unauthorized Disclosure has come to the attention of the Contractor. Contractor shall take all necessary measures to halt any further Unauthorized Disclosures. The Contractor, at the sole discretion of the State, shall provide no cost credit monitoring services for individuals whose PII was affected by the Unauthorized Disclosure. The Contractor shall bear the cost of notification to all individuals affected by the Unauthorized Disclosure, including individual letters and public notice. The remedies set forth in this Section are not exclusive and are in addition to any claims or remedies available to this State under this Contract or otherwise available at law.



- E.13 Survival. The terms, provisions, representations, and warranties contained in Sections D.11 (Records), D.18 (Limitation of Contractor's Liability), D.19 (Hold Harmless), D.20 (HIPAA Compliance), E.2 (Confidentiality of Records), E.7 (Prohibited Advertising), E.9 (Intellectual Property), E.12 (Personally Identifiable Information), E.17 (Notification of Breach), E.19 (SSA Data), and E.23 (IRS Data) of this Contract shall survive the completion of performance, termination or expiration of this Contract.
- E.14 Applicable Laws, Rules, Policies and Court Orders. The Contractor agrees to comply with all applicable federal and State laws, rules, regulations, sub-regulatory guidance including but not limited to the State Medicaid Manual, executive orders, HCFA waivers, and all current, modified or future Court decrees, orders or judgments applicable to the State's TennCare and CHIP programs. Such compliance shall be performed at no additional cost to the State.
- E.15 Business Associate. Contractor hereby acknowledges its designation as a business associate under HIPAA and agrees to comply with all applicable HIPAA regulations. In accordance with the HIPAA regulations, the Contractor shall, at a minimum:
- a) Comply with requirements of the HIPAA, including, but not limited to, the transactions and code sets, privacy, security, and identifier regulations. Compliance includes meeting all required transaction formats and code sets with the specified data sharing agreements required under the regulations;
 - b) Transmit/receive from/to its providers, subcontractors, clearinghouses and HCFA all transactions and code sets required by HIPAA in the appropriate standard formats, utilizing appropriate and adequate safeguards, as specified under the law and as directed by HCFA so long as HCFA direction does not conflict with the law;
 - c) Agree that if it is not in compliance with all applicable standards defined within the transactions and code sets, privacy, security and all subsequent HIPAA standards, that it will be in breach of this Contract and will then take all reasonable steps to cure the breach or end the violation as applicable. Since inability to meet the transactions and code sets requirements, as well as the privacy and security requirements can bring basic business practices between HCFA and the Contractor and between the Contractor and its providers and/or subcontractors to a halt, if for any reason the Contractor cannot meet the requirements of this Section, HCFA may terminate this Contract.
 - d) Ensure that Protected Health Information (PHI) exchanged between the Contractor and HCFA is used only for the purposes of treatment, payment, or health care operations and health oversight and its related functions. All PHI not transmitted for these purposes or for purposes allowed under the federal HIPAA regulations shall be de-identified to secure and protect the individual enrollee's PHI;
 - e) Report to HCFA's Privacy Office immediately upon becoming aware of any use or disclosure of PHI in violation of this Contract by the Contractor, its officers, directors, employees, subcontractors or agents or by a third party to which the Contractor disclosed PHI;
 - f) Specify in its agreements with any agent or subcontractor that will have access to PHI that such agent or subcontractor agrees to be bound by the same restrictions, terms and conditions that apply to the Contractor pursuant to this Section;
 - g) Make its internal policies and procedures, records and other documentation related to the use and disclosure of PHI available upon request to the U.S. Secretary of Health and Human Services for the purposes of determining compliance with the



HIPAA regulations;

- h) Create and adopt policies and procedures to periodically audit adherence to all HIPAA regulations;
- i) Agree to ensure that any agent, including a subcontractor, to whom it provides PHI that was created, received, maintained, or transmitted by or on behalf of HCFA agrees to use reasonable and appropriate safeguards to protect the PHI.
- j) If feasible, return or destroy all PHI, in whatever form or medium (including any electronic medium) and all copies of any data or compilations derived from and allowing identification of any individual who is a subject of that PHI upon termination, cancellation, expiration or other conclusion of the Agreement, and in accordance with this Section of this Contract. The Contractor shall complete such return or destruction as promptly as possible, but not later than thirty (30) days after the effective date of the termination, cancellation, expiration or other conclusion of the Agreement. The Contractor shall identify any PHI that cannot feasibly be returned or destroyed. Within such thirty (30) days after the effective date of the termination, cancellation, expiration or other conclusion of the Agreement, the Contractor shall: (1) certify an oath in writing that such return or destruction has been completed; (2) identify any PHI which cannot feasibly be returned or destroyed; and (3) certify that it will only use or disclose such PHI for those purposes that make its return or destruction infeasible;
- k) Implement all appropriate administrative, physical and technical safeguards to prevent the use or disclosure of PHI other than pursuant to the terms and conditions of this Contract and, including, but not limited to, privacy, security and confidentiality requirements in 45 CFR Parts 160 and 164;
- l) Set up appropriate mechanisms to limit use or disclosure of PHI to the minimum necessary to accomplish the intended purpose of the use or disclosure;
- m) Create and implement policies and procedures to address present and future HIPAA regulatory requirements as needed, including, but not limited to: use and disclosure of data; de-identification of data; minimum necessary access; accounting of disclosures; enrollee's right to amend, access, request restrictions; notice of privacy practices and right to file a complaint;
- n) Provide an appropriate level of training to its staff and employees regarding HIPAA related policies, procedures, enrollee rights and penalties prior to the HIPAA implementation deadlines and at appropriate intervals thereafter;
- o) Track training of Contractor staff and employees and maintain signed acknowledgements by staff and employees of the Contractor's HIPAA policies;
- p) Be allowed to use and receive information from HCFA where necessary for the management and administration of this Contract and to carry out business operations where permitted under the regulations;
- q) Be permitted to use and disclose PHI for the Contractor's own legal responsibilities;
- r) Adopt the appropriate procedures and access safeguards to restrict and regulate access to and use by Contractor employees and other persons performing work for the Contractor to have only minimum necessary access to PHI and personally identifiable data within their organization;



- s) Continue to protect and secure PHI and personally identifiable information relating to enrollees who are deceased; and
 - t) Track all security incidents as defined by HIPAA and periodically report such incidents to HCFA in summary fashion.
- E.16 Information Holders. HCFA and the Contractor are “information holders” as defined in TCA 47-18-2107. In the event of a breach of the security of Contractor’s information system, as defined by TCA 47-18-2107, the Contractor shall indemnify and hold HCFA harmless for expenses and/or damages related to the breach. Such obligations shall include, but not be limited to, mailing notifications to affected enrollees. Substitute notice to written notice, as defined by TCA 47-18-2107(e)(2) and (3), shall only be permitted with HCFA’s express written approval. The Contractor shall notify HCFA’s Privacy Office immediately upon becoming aware of any security incident that would constitute a “breach of the security of the system” as defined in TCA 47-18-2107.
- E.17 Notification of Breach and Notification of Suspected Breach. - The Contractor shall notify HCFA’s Privacy Office immediately upon becoming aware of any incident, either confirmed or suspected, that represents or may represent unauthorized access, use or disclosure of encrypted or unencrypted computerized data that materially compromises the security, confidentiality, or integrity of enrollee PHI maintained or held by the Contractor, including any unauthorized acquisition of enrollee PHI by an employee or otherwise authorized user of the Contractor’s system. This includes, but is not limited to, loss or suspected loss of remote computing or telework devices such as laptops, PDAs, Blackberrys or other Smartphones, USB drives, thumb drives, flash drives, CD-Rs, and/or disks.
- E.18 Transmission of Contract Deliverables. All information or data that is necessary for one or more deliverable set forth in this Contract shall be transmitted between HCFA and Contractor via the data transfer method specified in advance by HCFA. This may include, but shall not be limited to, transfer through HCFA’s SFTP system. Failure by the Contractor to transmit information or data that is necessary for a deliverable in the manner specified by HCFA, may, at the option of HCFA, result in liquidated damages as set forth in Contract Attachment 2.
- E.19 Social Security Administration (SSA) Required Provisions for Data Security. The Contractor shall comply with limitations on use, treatment, and safeguarding of data under the Privacy Act of 1974 (5 USC 552a), as amended by the Computer Matching and Privacy Protection Act of 1988, related Office of Management and Budget guidelines, the Federal Information Security Management Act of 2002 (44 USC §3541, *et seq.*), and related National Institute of Standards and Technology guidelines. In addition, the Contractor shall have in place administrative, physical, and technical safeguards for data.
- a) The Contractor shall specify in its agreements with any agent or subcontractor that will have access to data that such agent or subcontractor agrees to be bound by the same restrictions, terms and conditions that apply to the Contractor pursuant to this Section;
 - b) The Contractor shall not duplicate in a separate file or disseminate, without prior written permission from HCFA, the data governed by the Contract for any purpose other than that set forth in this Contract for the administration of the HCFA program. Should the Contractor propose a redisclosure of said data, the Contractor must specify in writing to HCFA the data the Contractor proposes to redisclose, to whom, and the reasons that justify the redisclosure. HCFA will not give permission for such redisclosure unless the redisclosure is required by law or essential to the administration of the HCFA program.
 - c) The Contractor agrees to abide by all relevant federal laws, restrictions on access,



use, and disclosure, and security requirements in this Contract.

- d) The Contractor shall provide a current list of the employees of such contractor with access to SSA data and provide such lists to HCFA.
- e) The Contractor shall restrict access to the data obtained from HCFA to only those authorized employees who need such data to perform their official duties in connection with purposes identified in this Contract. The Contractor shall not further duplicate, disseminate, or disclose such data without obtaining HCFA's prior written approval.
- f) The Contractor shall ensure that its employees:
 - 1) properly safeguard PHI/PII furnished by HCFA under this Contract from loss, theft or inadvertent disclosure;
 - 2) understand that they are responsible for safeguarding this information at all times, regardless of whether or not the Contractor employee is at his or her regular duty station;
 - 3) ensure that Contractor-issued laptops and other electronic devices/media containing PHI/PII are encrypted and/or password protected;
 - 4) send emails containing PHI/PII only if encrypted or if to and from addresses that are secure; and,
 - 5) limit disclosure of the information and details relating to a PHI/PII loss only to those with a need to know.

Contractor employees who access, use, or disclose HCFA or HCFA SSA-supplied data in a manner or purpose not authorized by this Contract may be subject to civil and criminal sanctions pursuant to applicable federal statutes.

- g) Loss or Suspected Loss of Data—If an employee of the Contractor becomes aware of suspected or actual loss of PHI/PII, he or she must immediately contact HCFA immediately upon becoming aware to report the actual or suspected loss. The Contractor will use the Loss Worksheet located at http://www.tn.gov/assets/entities/tenncare/attachments/phi_piiworksheet.pdf to quickly gather and organize information about the incident. The Contractor must provide HCFA with timely updates as any additional information about the loss of PHI/PII becomes available.

If the Contractor experiences a loss or breach of said data, HCFA will determine whether or not notice to individuals whose data has been lost or breached shall be provided and the Contractor shall bear any costs associated with the notice or any mitigation.

- h) HCFA may immediately and unilaterally suspend the data flow under this Contract, or terminate this Contract, if HCFA, in its sole discretion, determines that the Contractor has: (1) made an unauthorized use or disclosure of HCFA SSA-supplied data; or (2) violated or failed to follow the terms and conditions of this Section E.21.
- i) This Section further carries out Section 1106(a) of the Act (42 USC 1306), the regulations promulgated pursuant to that section (20 C.F.R. Part 401), the Privacy of 1974 (5 USC 552a), as amended by the Computer Matching and Privacy Protection Act of 1988, related Office of Management and Budget ("OMB") guidelines, the



Federal Information Security Management Act of 2002 (44 USC 3541 et seq.), and related National Institute of Standards and Technology (“NIST”) guidelines, which provide the requirements that the SSA stipulates that the Contractor must follow with regard to use, treatment, and safeguarding data in the event data is exchanged with a federal information system.

6) Definitions

- i) “SSA-supplied data” or “data” as used in this section – information, such as an individual’s social security number, supplied by the Social Security Administration to HCFA to determine entitlement or eligibility for federally-funded programs (CMPPA between SSA and F&A; IEA between SSA and HCFA).
- ii) “Protected Health Information/Personally Identifiable Information” (PHI/PII)(45 C.F.R. 160.103; OMB Circular M-06-19) – Protected health information means individually identifiable health information that is: (i) Transmitted by electronic media; (ii) Maintained in electronic media; or (iii) Transmitted or maintained in any other form or medium.
- iii) “Individually Identifiable Health Information”– information that is a subset of health information, including demographic information collected from an individual, and: (1) Is created or received by a health care provider, health plan, employer, or health care clearinghouse; and (2) relates to the past, present, or future physical or mental health or condition of an individual; the provision of health care to an individual; or the past, present, or future payment for the provision of health care to an individual; and (i) identifies the individual; or (ii) with respect to which there is a reasonable basis to believe the information can be used to identify the individual.
- iv) “Personally Identifiable Information” – any information about an individual maintained by an agency, including, but not limited to, education, financial transactions, medical history, and criminal or employment history and information which can be used to distinguish or trace an individual’s identity, such as their name, Social Security Number, date and place of birth, mother’s maiden name, biometric records, including any other personal information which can be linked to an individual.

E.20 Medicaid and CHIP - The Contractor must provide safeguards that restrict the use or disclosure of information concerning applicants and beneficiaries to purposes directly connected with the administration of the plan:

- a) Purposes directly related to the administration of Medicaid and CHIP include:
 - 1) establishing eligibility;
 - 2) determining the amount of medical assistance;
 - 3) providing services for beneficiaries; and,
 - 4) conducting or assisting an investigation, prosecution, or civil or criminal proceeding related to Medicaid or CHIP administration.
- b) The Contractor must have adequate safeguards to assure that:



- 1) Information is made available only to the extent necessary to assist in the valid administrative purposes of those receiving the information, and information
 - 2) received under 26 USC is exchanged only with parties authorized to receive that information under that section of the Code; and, the information is adequately stored and processed so that it is protected against unauthorized disclosure for other purposes.
- c) The Contractor must have criteria that govern the types of information about applicants and beneficiaries that are safeguarded. This information must include at le-t--
- 1) Names and addresses;
 - 2) Medical services provided;
 - 3) Social and economic conditions or circumstances;
 - 4) Contractor evaluation of personal information;
 - 5) Medical data, including diagnosis and past history of disease or disability
 - 6) Any information received for verifying income eligibility and amount of medical assistance payments, including income information received from SSA or the Internal Revenue Service;
 - 7) Income information received from SSA or the Internal Revenue Service must be safeguarded according to Medicaid and CHIP requirements;
 - 8) Any information received in connection with the identification of legally liable third party resources; and.
 - 9) Social Security Numbers.
- d) The Contractor must have criteria approved by HCFA specifying:
- 1) the conditions for release and use of information about applicants and beneficiaries:
 - 2) Access to information concerning applicants or beneficiaries must be restricted to persons or Contractor representatives who are subject to standards of confidentiality that are comparable to those of HCFA;
 - 3) The Contractor shall not publish names of applicants or beneficiaries;
 - 4) The Contractor shall obtain permission from a family or individual, whenever possible, before responding to a request for information from an outside source, unless the information is to be used to verify income, eligibility and the amount of medical assistance payment to an authorized individual or entity;
 - 5) If, because of an emergency situation, time does not permit obtaining consent before release, the Contractor shall notify HCFA, the family or individual immediately after supplying the information.
 - 6) The Contractor's policies must apply to all requests for information from outside sources, including governmental bodies, the courts, or law enforcement officials.



- i) The Contractor shall notify HCFA of any requests for information on applicants or beneficiaries by other governmental bodies, the courts or law enforcement officials ten (10) days prior to releasing the requested information.
- 7) If a court issues a subpoena for a case record or for any Contractor representative to testify concerning an applicant or beneficiary, the Contractor must notify HCFA at least ten (10) days prior to the required production date so HCFA may inform the court of the applicable statutory provisions, policies, and regulations restricting disclosure of information.
 - 8) The Contractor shall not request or release information to other parties to verify income, eligibility and the amount of assistance under Medicaid or CHIP, prior to express approval from HCFA.
- E.21 Employees Excluded from Medicare, Medicaid or CHIP. The Contractor does hereby attest, certify, warrant, and assure that the Contractor shall not knowingly employ, in the performance of this Contract, employees who have been excluded from participation in the Medicare, Medicaid, and/or CHIP programs pursuant to Sections 1128 of the Social Security
- E.22 Offer of Gratuities. By signing this contract, the Contractor signifies that no member of or a delegate of Congress, nor any elected or appointed official or employee of the State of Tennessee, the federal General Accounting Office, federal Department of Health and Human Services, the CMS, or any other state or federal agency has or will benefit financially or materially from this Contract. This Contract may be terminated by HCFA as provided in Section D.6, if it is determined that gratuities of any kind were offered to or received by any of the aforementioned officials or employees from the Contractor, its agent, or employees.
- E.23 Internal Revenue Service (IRS) Safeguarding Of Return Information:
- a) Performance - In performance of this contract, the contractor agrees to comply with and assume responsibility for compliance by his or her employees with the following requirements:
 - 1) This provision shall not apply if information received or delivered by the Parties under this Contract is NOT "federal tax returns or return information" as defined by IRS Publication 1075 and IRC 6103.
 - 2) All work will be done under the supervision of the contractor or the contractor's employees. The contractor and the contractor's employees with access to or who use FTI must meet the background check requirements defined in IRS Publication 1075.
 - 3) Any Federal tax returns or return information (hereafter referred to as returns or return information) made available in any format shall be used only for the purpose of carrying out the provisions of this contract. Information contained in such material will be treated as confidential and will not be divulged or made known in any manner to any person except as may be necessary in the performance of this contract. Disclosure to anyone other than an officer or employee of the contractor will be prohibited.
 - 4) All returns and return information will be accounted for upon receipt and properly stored before, during, and after processing. In addition, all related output will be given the same level of protection as required for the source material.



- 5) The contractor certifies that the data processed during the performance of this contract will be completely purged from all data storage components of his or her computer facility, and no output will be retained by the contractor at the time the work is completed. If immediate purging of all data storage components is not possible, the contractor certifies that any IRS data remaining in any storage component will be safeguarded to prevent unauthorized disclosures.
- 6) Any spoilage or any intermediate hard copy printout that may result during the processing of IRS data will be given to the agency or his or her designee. When this is not possible, the contractor will be responsible for the destruction of the spoilage or any intermediate hard copy printouts, and will provide the agency or his or her designee with a statement containing the date of destruction, description of material destroyed, and the method used.
- 7) All computer systems receiving, processing, storing, or transmitting Federal tax information must meet the requirements defined in IRS Publication 1075. To meet functional and assurance requirements, the security features of the environment must provide for the managerial, operational, and technical controls. All security features must be available and activated to protect against unauthorized use of and access to Federal tax information.
- 8) No work involving Federal tax information furnished under this contract will be subcontracted without prior written approval of the IRS.
- 9) The contractor will maintain a list of employees authorized access. Such list will be provided to the agency and, upon request, to the IRS reviewing office.
- 10) The agency will have the right to void the contract if the contractor fails to provide the safeguards described above.
 - b) Criminal/Civil Sanctions
 - 1) Each officer or employee of any person to whom returns or return information is or may be disclosed will be notified in writing by such person that returns or return information disclosed to such officer or employee can be used only for a purpose and to the extent authorized herein, and that further disclosure of any such returns or return information for a purpose or to an extent unauthorized herein constitutes a felony punishable upon conviction by a fine of as much as \$5,000 or imprisonment for as long as 5 years, or both, together with the costs of prosecution. Such person shall also notify each such officer and employee that any such unauthorized further disclosure of returns or return information may also result in an award of civil damages against the officer or employee in an amount not less than \$1,000 with respect to each instance of unauthorized disclosure. These penalties are prescribed by IRC sections 7213 and 7431 and set forth at 26 CFR 301.6103(n)-1.



- 2) Each officer or employee of any person to whom returns or return information is or may be disclosed shall be notified in writing by such person that any return or return information made available in any format shall be used only for the purpose of carrying out the provisions of this contract. Information contained in such material shall be treated as confidential and shall not be divulged or made known in any manner to any person except as may be necessary in the performance of the contract. Inspection by or disclosure to anyone without an official need to know constitutes a criminal misdemeanor punishable upon conviction by a fine of as much as \$1,000 or imprisonment for as long as 1 year, or both, together with the costs of prosecution. Such person shall also notify each such officer and employee that any such unauthorized inspection or disclosure of returns or return information may also result in an award of civil damages against the officer or employee [United States for Federal employees] in an amount equal to the sum of the greater of \$1,000 for each act of unauthorized inspection or disclosure with respect to which such defendant is found liable or the sum of the actual damages sustained by the plaintiff as a result of such unauthorized inspection or disclosure plus in the case of a willful inspection or disclosure which is the result of gross negligence, punitive damages, plus the costs of the action. These penalties are prescribed by IRC section 7213A and 7431.
- 3) Additionally, it is incumbent upon the contractor to inform its officers and employees of the penalties for improper disclosure imposed by the Privacy Act of 1974, 5 USC 552a. Specifically, 5 USC 552a(i)(1), which is made applicable to contractors by 5 USC 552a(m)(1), provides that any officer or employee of a contractor, who by virtue of his/her employment or official position, has possession of or access to agency records which contain individually identifiable information, the disclosure of which is prohibited by the Privacy Act or regulations established thereunder, and who knowing that disclosure of the specific material is prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than \$5,000.
- 4) Granting a contractor access to FTI must be preceded by certifying that each individual understands the agency's security policy and procedures for safeguarding IRS information. Contractors must maintain their authorization to access FTI through annual recertification. The initial certification and recertification must be documented and placed in the agency's files for review. As part of the certification and at least annually afterwards, contractors should be advised of the provisions of IRC Sections 7431, 7213, and 7213A (see Publication 1075 Exhibit 6, *IRC Sec. 7431 Civil Damages for Unauthorized Disclosure of Returns and Return Information* and Publication 1075 Exhibit 5, *IRC Sec. 7213 Unauthorized Disclosure of Information*). The training provided before the initial certification and annually thereafter must also cover the incident response policy and procedure for reporting unauthorized disclosures and data breaches. (See Publication 1075 Section 10) For both the initial certification and the annual certification, the contractor should sign, either with ink or electronic signature, a confidentiality statement certifying their understanding of the security requirements.

Inspection - The IRS and the Agency shall have the right to send its officers and employees into the offices and plants of the contractor for inspection of the facilities and operations provided for the performance of any work under this contract. On the basis of such inspection, specific measures may be required in cases where the contractor is found to be noncompliant with contract safe.

E.24 Contractor Commitment to Diversity. The Contractor shall comply with and make reasonable business efforts to exceed the commitment to diversity represented by the Contractor's Response to RFQ 32101-15557 (RFQ Attachment B, Section B.15) and resulting in this Contract.



The Contractor shall assist the State in monitoring the Contractor's performance of this commitment by providing, as requested, a quarterly report of participation in the performance of this Contract by small business enterprises and businesses owned by minorities, women, and Tennessee service-disabled veterans. Such reports shall be provided to the State of Tennessee Governor's Office of Diversity Business Enterprise in the required form and substance.

IN WITNESS WHEREOF,

DELOITTE CONSULTING LLP:

Brad Eskind

9/14/16

CONTRACTOR SIGNATURE

DATE

Brad Eskind, Principal

PRINTED NAME AND TITLE OF CONTRACTOR SIGNATORY (above)

DEPARTMENT OF FINANCE AND ADMINISTRATION
DIVISION OF HEALTH CARE FINANCE AND ADMINISTRATION:

Larry B. Martin / JGR

9/15/16

Larry B. Martin, Commissioner

DATE



ATTESTATION RE PERSONNEL USED IN CONTRACT PERFORMANCE

SUBJECT CONTRACT NUMBER:	#51758
CONTRACTOR LEGAL ENTITY NAME:	DELOITTE CONSULTING LLP
EDISON VENDOR ID #	#0000135163

The Contractor, identified above, does hereby attest, certify, warrant, and assure that the Contractor shall not knowingly utilize the services of an illegal immigrant in the performance of this Contract and shall not knowingly utilize the services of any subcontractor who will utilize the services of an illegal immigrant in the performance of this Contract.

CONTRACTOR SIGNATURE

NOTICE: This attestation MUST be signed by an individual empowered to contractually bind the Contractor. Attach evidence documenting the individual's authority to contractually bind the Contractor, unless the signatory is the Contractor's chief executive or president.

Brad Eskind, Principal

PRINTED NAME AND TITLE OF SIGNATORY

9/14/16

DATE OF ATTESTATION



LIQUIDATED DAMAGES

In the event of a Contract performance failure by Contractor and such Contract performance failure is not included in the following table with an associated Liquidated Damage amount, the parties hereby agree that the State may choose one of the following courses of action in order to obtain redressability for such Contract performance failure: (1) the State may assess actual damages resulting from the Contract performance failure against the Contractor in the event that such actual damages are known or are reasonably ascertainable at the time of discovery of such Contract performance failure or (2) if such actual damages are unknown or are not reasonably ascertainable at the time of discovery of the Contract performance failure, the State may (a) require the Contractor to submit a corrective action plan to address any such Contract performance failure and/or (b) assess a liquidated damage against Contractor for an amount that is reasonable in relation to the Contract performance failure as measured at the time of discovery of the Contract performance failure. In the event that the State chooses to assess a Liquidated Damage for a Contract performance failure according to the immediately preceding sentence, in no event shall such Liquidated Damage be in excess of \$1,000 for any single Contract performance failure. HCFA may elect to apply the following liquidated damages remedies in the event the Contractor fails to perform its obligations under this Contract in a proper and/or timely manner. Upon determination by HCFA that the Contractor has failed to meet any of the requirements of this Contract in a proper and/or timely manner, HCFA will notify the Contractor in writing of the deficiency and of the potential liquidated damages to be assessed. Should the deficiency remain uncorrected for more than thirty (30) calendar days from the date of the original notification of the deficiency by HCFA, HCFA may impose an additional liquidated damage of Five Hundred Dollars (\$500) per day from the date of the original notification to Contractor until said deficiency is resolved.

All liquidated damages remedies set forth in the following table may, at HCFA's election, be retroactive to the date of the initial occurrence of the failure to comply with the terms of the Contract as set forth in the notice of deficiency from HCFA and may continue until such time as the HCFA Deputy Commissioner determines the deficiency has been cured.

If liquidated damages are assessed, HCFA shall reduce the amount of any payment due to the Contractor in the next invoice by the amount of damages. In the event that damages due exceed the amount HCFA is to pay to Contractor in a given payment, HCFA shall invoice Contractor for the amount exceeding the amount payable to Contractor, and such excess amount shall be paid by Contractor within thirty (30) calendar days of the invoice date. In situations where the Contractor wishes to dispute any liquidated damages assessed by HCFA, the Contractor must submit a written notice of dispute, including the reasons for disputing the liquidated damages, within thirty (30) calendar days of receipt of the notice from HCFA containing the total amount of damages assessed against the Contractor. If the Contractor fails to timely dispute a liquidated damages assessment as set forth herein, such failure shall constitute a bar to the Contractor seeking to have the assessment amount overturned in a forum or court of competent jurisdiction.

Liquidated damages will apply in the below defect occurrences. Contractor acknowledges that the actual damages likely to result from breach of the below SLRs are difficult to estimate and may be difficult for the State to prove. The parties intend that the Contractor's payment of assessed liquidated damages will compensate the State for material breach by the Contractor obligations under this Contract. Liquidated damages do not serve as punishment for any breach by the Contractor.



Defect severity will be assigned according to the following criteria:

Table 6: Defect Severity

Severity	Description
Critical	A complete failure of the Solution application or supported process in the Production Instance has occurred. There is no work around for the problem. A majority of end users of the Production Instance are affected or an entire business division is affected or the outage has occurred during a critical business process or period, such as end of month or end of year processing. Critical defects take precedence over all other requests.
High	Major issues exist within the Solution or supported process in the Production Instance. The issue affects large portions of the user community. This includes high visibility issues involving upper management or time sensitive issues. An example of this priority level is an impact to multiple users of the system, or an inability to process applicants.
Medium	Issues exist with an application or supported process in the Production Instance that affects a few users on a regular basis, thereby preventing some work from being accomplished. Examples of this type of priority would be inability to access implemented functionality or implemented functionality not operating as it should.
Low	An informational inquiry or nonrecurring issue exists with the Production Instance that affects a few non-critical users or processes. Workarounds are readily available.



Table 7: Tennessee Eligibility Determination System - Service Level Requirements (SLR)

	Service Level Requirement Category	Service Level Requirement Name	Required Service Level	Description	Liquidated Damage
1.1	Production Services	Account Transfers	Within one calendar day of scheduled process time	Successfully execute daily account transfer process between FDSH and TEDS.	Five hundred dollars (\$500) per calendar day per account for each account not successfully transferred between the TEDS and FDSH within twenty four (24) hours of its scheduled process time (excludes transfers that fail due to FDSH system failure). The maximum cap on this LD shall be fifty thousand dollars (\$50,000) per day.
1.2	Production Services and Output Management	Notice/Letter Generation	< forty-eight (48) Hours of event triggering letter/notice. If forty-eight (48) hours falls during a period when the USPS is not accepting deliveries, the letter/notice must be delivered to the USPS within eight (8) hours of the USPS opening.	Letters/notices are produced, printed, folded/inserted, and delivered to the USPS. This SLR excludes large (distributions over one million (1,000,000)) letter/notice distributions covered in Section A.17.17.1.10.c of the Contract, which shall follow the defined schedule.	One hundred dollars (\$100) per notice/letter per USPS service day until the correspondence is produced, printed, folded/inserted and delivered to the USPS. The maximum cap on this LD shall be fifty thousand dollars (\$50,000) per day.
2.1	Reporting Requirements	Daily Operations Report	By noon (12:00pm) the following day	Provide a timely and accurate Daily Operations Report	Five hundred dollars (\$500) per clock hour for each clock hour after noon (12:00pm) that an accurate and complete report is not received, unless waived by HCFA. If the report is received on time but the information reported is inaccurate or incomplete, HCFA may assess up to five hundred dollars (\$500) per clock hour until an acceptable report is received, not to exceed ten thousand dollars (\$10,000) per day.
3.1	System Availability and Reliability	System Uptime	> ninety-nine point nine percent (99.9%) available	The availability of the main TEDS customer interface. Number of hours that the Contractor web site is operational and capable of performing all functions. Excluding scheduled system outages. <i>Note: < forty three point two (43.2)</i>	Two hundred fifty dollars per minute (\$250) for every minute below than the contracted target level of availability for the month.



Service Level Requirement Category	Service Level Requirement Name	Required Service Level	Description	Liquidated Damage	
			<i>minutes of allowable downtime for thirty (30)-day month</i>		
4.1	Technical Operations	Defect Resolution Time	<p>Defect Resolution Time measures the Contractor's time to resolution of incidents based upon critical, high, medium, and low priorities.</p> <p>* Business hours = 8:00 a.m. – 5:00 p.m., Monday – Friday, except State holidays</p> <p>** Clock hours = clock time</p> <p>*** Clock minutes = clock time</p> <p>Defect Resolution Time: Low priority – twelve (12) Business hours* Medium priority – eight (8) Business hours* High priority – one (1) Clock hour** Critical priority – thirty (30) Clock minutes***</p>	<p>The damages vary by criticality of the incident and are:</p> <p>Fifty dollars (\$50) per low incident per business hour above four (4) Business hours, Fifty dollars (\$50) per medium incident per business hour above two (2) Business hours*, Fifty dollars (\$50) per high incident per clock hour above one (1) Clock hour**, Fifty dollars (\$50) per critical incident per clock minute above thirty (30) Clock minutes***.</p> <p>The LD amount for defect resolution time shall not exceed (for all incidents) thirty thousand dollars (\$30,000) per month.</p>	
4.2	Technical Operations	Solution File Backup and Restoration	<p>For 24/7/365 requests, file restoration services are to be ninety-five percent (95%) within four (4) hours, and one hundred percent (100%) within twenty-four (24) hours. Restoration from daily and weekly backups will be capable of initiation within four (4) hour of request, and completed within eight (8) hours of request.</p>	<p>In the event of any failed storage for 24/7/365 service level data, ninety-five percent (95%) of files will be restored from backup within four (4) hours, and one hundred (100%) will be restored within twenty-four (24) hours. Restoration from backups must be capable of initiation within one (1) hour of request and completed within four (4) hours of request.</p>	<p>Two thousand five hundred dollars (\$2,500) per failure to meet either the ninety-five percent (95%) threshold or the one hundred percent (100%) threshold (note that only one (1) LD per occurrence).</p> <p>Two thousand five hundred dollars (\$2,500) per backup initiation not complete within four (4) hours of request.</p>
4.3	Technical Operations	Interfaces	<p>Incoming interface transaction data is correct and sufficient to perform the required transaction.</p>	<p>System is able to request, receive, and process accurate data updated on the required schedule from all incoming interfaces from FDSH, IRS, SSA and State systems. All outgoing interfaces shall provide accurate and complete data, as entered by users, to the partner</p>	<p>One thousand dollars (\$1,000) per calendar day per interface that the system is not able to request, receive, and accurately process. The Contractor shall not be responsible for interface technical problems that are caused by interface source.</p>



Service Level Requirement Category	Service Level Requirement Name	Required Service Level	Description	Liquidated Damage
5.1	Performance	Application Response Times	Less than two (2) seconds ninety-five percent (95%) of the time.	interfaced, as required for the required transaction. The Solution shall maintain an application response time of less than two (2) seconds ninety-five percent (95%) of the time, for any user action. No action or page load shall have response times of more than three (3) seconds. The Solution component and system shall be considered as unavailable if the online response time is a factor of three (3) greater than Application Response Time SLR. In this case, Liquidated Damages associated with SLR #3.1 above (System Availability) shall apply.
6.1	Security and Privacy	Privacy Incident Reporting	Immediately, not to exceed one (1) hour after awareness of incident.	Five thousand dollars (\$5,000) per percentage point that exceeds the Application Response Time SLR timeframe. Not to exceed thirty thousand dollars (\$30,000) per month. One thousand (\$1,000) per hour (following the first hour) between Privacy Incident and written report of the breach to the HCFA Privacy Office.



Table 8: Incident Resolution

	Time from receipt of State notice to CAP Approval	Liquidated Damages failure to complete an accepted CAP within allotted time	Liquidated Damages for subsequent occurrences of substantially the same issue, first 3 occurrences after CAP approval	Liquidated Damages for subsequent occurrences of substantially the same issue (for over 3 occurrences)
Critical	Fewer than 24 clock hours	Five hundred dollars (\$500) for each additional clock hour	Twenty-five thousand dollars (\$25,000) per incident	Seventy-five thousand dollars (\$75,000) per incident
High	Fewer than 48 clock hours	Five hundred dollars (\$500) for each additional clock hour	Twelve thousand five hundred dollars (\$12,500) per incident	Thirty-seven thousand five hundred dollars (\$37,500) per incident
Medium	Fewer than 3 days	Five hundred dollars (\$500) for each additional day	Two thousand five hundred dollars (\$2,500) per incident	Seven thousand five hundred dollars (\$7,500) per incident



NOTICES

The following is a list includes, but is not limited to, the Eligibility Operations Notices that shall be utilized by the State of Tennessee for the TEDS.

Table 9: Eligibility Operations – TC

TC Letter ID	Description Policy – Letter Title)	Current or Planned Frequency	Monthly Volume (Where Applicable)
Q3	Demographic - Address Change Letter	Daily	10000
H5	Demographic -Temporary Reinstatement of Eligibility	Daily	2
H6	Demographic - Adding Members to case	Daily	0
P6	Demographic - Date of Birth change	Daily	167
P8	Demographic - SSN change	Daily	2441
207	Creditable Coverage Certificate - Daily	Daily	268
058a	Involuntary Termination - has access to health insurance or has health insurance	Daily	0
061	Voluntary Termination - recip "asked"	Daily	1367
058c	Involuntary Termination - recip out of state	Daily	151
250a	Medicaid appr, new add or less than 62 day break, with MCO change option	Daily	5000
250b	Medicaid appr new or greater than 62 break with MCO change option	Daily	7900
250c	Medicaid approval as presumptive (pregnant) with MCO change option	Daily	1238
250d	Presumptive appr (pregnant) given 45 days with MCO change option	Daily	179
251a	Redetermination appr with copays; no MCO change option	Weekly	
251b	Redetermination appr without copays; no MCO change option	Weekly	
251c	Medicaid Eligibility Redetermination appr without copays; no MCO change option	Weekly	
251d	ME Redetermination appr with copays; no MCO change option	Weekly	
252a	New ME, rollover from Mcaid, Uninsured, income btwn 100-199% FPL appr, with copays; no MCO change option	Weekly	
252b	New ME, rollover from Mcaid, appr no copays; no MCO change option	Weekly	
252c	New ME, rollover from Mcaid, income is above 200%, appr with copays; no MCO change option	Weekly	
254	SSI Approval - Child is now SSI - new add	Daily	143



Table 10: Eligibility Operations – TEDS

Letter ID	Description (Policy – Letter Title)	Current or Planned Frequency	Monthly Volume (Where Applicable)
300	TEDS - Emergency - Alien approval for medical care	Daily	
301	TEDS - Denial for TCM, TCS, CoverKids,HealthyTNBabies	Daily	
301a, 301b	Denials produced by TEAMS that may convert to TEDS	Daily	
301c	TEDS - Denied due to No Response	Bi-Monthly	2900
302	TEDS - Authorized rep change	Daily	
303	TEDS - Generic change notice	Daily	
304	TEDS - Citizenship verification - Approved for 90 days , TCM, CoverKids	Daily	
305	TEDS - Electronic notice selection	Daily	
306	TEDS - TCM CHOICES - Patient Liability - increase - decrease	Daily	
307	TEDS - Request for verification	Daily	
307a	Special mailing - EOG -Request for verification of income	Weekly or Bi-Weekly	3500
307b	Special mailing - EOG - Request for verification of citizenship	Weekly or Bi-Weekly	4
307c	Special mailing - EOG - Request for verification of income and citizenship	Weekly or Bi-Weekly	1484
308	TEDS – Qualified Medicare Beneficiary, Specified Low Income Medicare Beneficiaries, Qualified Disabled Working Individual, QI-1 denial	Daily	
309	TEDS - Out of state - 10 day response	Daily	
310	TEDS - Portal Password has changed	Daily	
311	TEDS - Cover page - resending a letter you requested.	Daily	
312	TEDS – Third Party Liability (TPL) verification	Daily	
313	TEDS - Application withdrawl	Daily	
314	TEDS - Confirmation that your application was received and in process	Daily	
315Ti	TEDS - Involuntary Term notices - 058a and 058c and many other terms with different variables	Daily	
316	TEDS - Spend Down requesting information	Daily	
317	TEDS -Spend Down needing additional information	Daily	
318	TEDS - Failed electronic letter delivery	Daily	
350	TEDS - Approval - CoverKids, HealthyTNBabies (CHIP approval)	Daily	
35–b - (replaces TN 250C)	TEDS -Batch presumptive pregnant	Daily	



Letter ID	Description (Policy – Letter Title)	Current or Planned Frequency	Monthly Volume (Where Applicable)
352b	TEDS -Desktop at DOH presumptive pregnant	Daily	
352d	TEDS - Batch – Breast and Cervical Cancer (BCC) presumptive	Daily	
353	TEDS - Desktop - at DOH - BCC presumptive	Daily	
354	TEDS - Approval - Medicare Savings Program	Daily	
355	TEDS - Approval for BCC and Pregnant	Daily	
	TEDS - Term notice due to reverification - you re- applied and are denied	Daily	

Table 11: Eligibility Operations – Renewal

Renewal Letter ID	Description (Policy – Letter Title)	Current or Planned Frequency	Monthly Volume (Where Applicable)
401	Renewal - MAGI Initial letter with renewal packet	Monthly	
401R	Renewal - Reprint of Initial letter with renewal packet	Daily	
401a	Renewal - Long Term Services and Supports (LTSS) Initial letter with renewal packet	Monthly	
401AR	Renewal - Reprint of LTSS letter with NM renewal packet	Daily	
402	Redetermination - Approved for TennCare Medicaid	Daily	
402a	Redetermination - Approved for TennCare Medicaid - during the 90 day reconsideration period - produced by interChange	Daily	
403	Redetermination - Approval for Medicare Savings Program (MSP)	Daily	
404	Redetermination - Approved for TennCare Standard	Daily	
405	Redetermination - Approved for CoverKids - effective date to be included	Daily	
405a	Redetermination - Approved for CoverKids - renewal received after coverage ended	Daily	
406	Redetermination - Cover page which proceeds all TN 406 letters with barcode that tracks back to the recipient that was mailed the letter	Daily	
406a	Renewal - need more information - Household Income	Daily	
406b	Renewal - need more information - Citizenship or Immigration status and Household Income	Daily	
406c	Renewal - need more information - Citizenship or Immigration status	Daily	
406d	Renewal - need more information - proof that you live in Tennessee	Daily	
406e	Renewal - need more information - SSN or proof that you have applied for SSN	Daily	
406f	Renewal - need more information - household income, including spousal support alimony payments (for Transitional/Extended)	Daily	
406g	Renewal - need more information - do you have or can get insurance through your job or a family members job	Daily	
406h	Renewal - your renewal packet was received, but not signed	Daily	



Letter	Description (Policy – Letter Title)	Current or Planned Frequency	Monthly Volume (Where Applicable)
	Renewal - need more information - tell us about health problems, check for Medical Eligibility "ME" to apply for STD	Daily	
406j	Renewal - need more information - do you have insurance for pregnancy care, maternity benefits (CHIP only)	Daily	
406k	Renewal - need more information - missing ME packet information	Daily	
407	Renewal - packet received but you were not selected for renewal, or not currently enrolled	Daily	
408	Renewal - Denied, 20 day term - you applied and we have determined you no longer qualify for TC, Medicaid Savings Program (MSP), CK	Daily	
408ftp	Renewal - Denied, 20 day term - renewal packet received, we requested more information and you did not give us what we requested for TC, MSP, CK	Daily	
409	Renewal - Denied during 90 day reconsideration period - you do not qualify for TC, MSP or CK	Daily	
409ftp	Renewal - Denied during 90 day reconsideration period - renewal packet received, we requested more information, you did not give us what we requested for TC, MSP and CK	Daily	
410	will not be needed - <i>letter cancelled</i>		
411	Renewal - 20 day term - No response to renewal mailing	Monthly	
412	Renewal - Packet returned after due date - you must reapply	Daily	

Table 12: Eligibility Operations – CoverKids

CoverKids Letter ID	Description (Policy – Letter Title)	Current or Planned Frequency	Monthly Volume (Where Applicable)
CK100	CoverKids - Approval with effective dates	Daily	
CK101	CoverKids - Approval for maternity only for mother and child with effective date	Daily	
CK102a	CoverKids - Information is needed - SSN	Daily	
CK102b	CoverKids - Information is needed - proof your other coverage does not cover pregnancy care (maternity benefits)	Daily	
CK102c	CoverKids - Information is needed - date of birth	Daily	
CK102d	CoverKids - Information is needed - sign the application	Daily	
CK102e	CoverKids - Information is needed - provide proof you live in Tennessee	Daily	
CK102f	CoverKids - Information is needed - provide proof you have a verified American Indian/Alaska Native status	Daily	
CK103	CoverKids - Denial - new application	Daily	
CK104	CoverKids - Termination - coverage will end in 20 days	Daily	
CK105	CoverKids - Voluntary Termination - request received to end CK coverage	Daily	



Letter ID	Description (Policy – Letter Title)	Current or Planned Frequency	Monthly Volume (Where Applicable)
	CoverKids - Coverage was ended due to receipt of Date Of Death	Daily	
	CoverKids - Reminder - inform CK of baby's name and DOB	Daily	
CK108	CoverKids - You informed us of a demographic change	Daily	
CK109	CoverKids - Application was received - you already have TennCare, on this effective date	Daily	
CK110	CoverKids - Please apply for CK on Health Insurance Marketplace	Daily	
CKSpec1	CoverKids- After denial, given second chance to complete renewal packet	Daily	

Table 13: Eligibility Operations – TEAMS

TEAMS Letter ID	Description (Policy – Letter Title)	Current or Planned Frequency	Monthly Volume (Where Applicable)
ELG 301d	DENIAL - insufficient evidence of citizenship.	Daily	
ELG 301d	DENIAL - insufficient evidence of citizenship.	Daily	
AP 1	A hearing has been scheduled - phone - date and time.	Daily	
ELG.AI.cit	Additional Information needed to prove citizenship.	Daily	
ELG.AI.cit	Additional Information needed to prove citizenship.	Daily	
AP NOH.ph.5	Delay appeal - general delay in processing of application.	Daily	
AP AI.10cit	Delay appeal - additional information needed to prove citizenship - 10 days to respond.	Daily	
AP AI.90cit	CLOSING delay appeal - no response to request for proof of citizenship/immigrant eligibility - temporary TennCare APPROVED for 90 days.	Daily	
AP AI.combo	Delay appeal - additional information needed to prove income and citizenship - 10 days to respond.	Daily	
AP AI.in	Delay appeal - additional information needed to prove income - 10 days to respond.	Daily	
AP AI.MAGI	Delay appeal - additional information needed - haven't received info from the Marketplace - complete attached TennCare Delayed Application - 10 days to respond.	Daily	
AP AI.PrApp.2	Delay appeal - additional information needed to prove applied for TennCare - 10 days to respond.	Daily	
E-U - AD	CLOSING delay appeal - a TennCare application decision has been made - will get a letter about that decision.	Daily	
AP approved	CLOSING delay appeal - TennCare application has been approved.	Daily	
AP CI.App	CLOSING delay appeal - a TennCare application decision has been made - will get a letter with further information.	Daily	
AP CI.no delay.2	CLOSING delay appeal - no delay detected - TennCare application sent to Eligibility.	Daily	



Letter ID	Description (Policy – Letter Title)	Current or Planned Frequency	Monthly Volume (Where Applicable)
oPrApp	Delay appeal CLOSED - no proof of date of application.	Daily	
	DENIAL/Delay appeal CLOSED/OPTIONAL CoverKids APPROVAL - no proof of citizenship.	Daily	
AP D.ftp	DENIAL/Delay appeal CLOSED - failure to provide additional information.	Daily	
AP D.in.3	DENIAL/Delay appeal CLOSED/OPTIONAL CoverKids APPROVAL - income too high.	Daily	
AP D.ng	DENIAL/Delay appeal CLOSED - not in a group that Medicaid covers.	Daily	
AP D.nonres	DENIAL/Delay appeal CLOSED - non Tennessee resident OR receiving Medicaid in another state.	Daily	
AP D.prevcit	DENIAL/Delay appeal CLOSED/OPTIONAL CoverKids APPROVAL - not a US Citizen or eligible immigrant.	Daily	
AP IR	CLOSING Delay appeal - already have TennCare.	Daily	
AP Late.ver	Delay appeal is still CLOSED - appeal closed after no response to request for additional information - facts received after appeal closed - appeal still closed - facts sent to Eligibility staff - will get a letter about their decision.	Daily	
EAU.NP Closure	CLOSING request for hearing - no response to Request for Proof of Application.	Daily	
AP NOH.ph.4	Delay appeal - general delay in processing of application.	Daily	
	FORM "Request for Application Processing Delay Hearing"	Daily	
EAU.Untimely Closure	Cannot process request for hearing - no response to "Request for Application Processing Delay Hearing."	Daily	
AP res.app	CLOSING Delay appeal - TennCare application was already denied (can appeal denial).	Daily	
AP NOH.4	NOH - phone - delay appeal - appellant application for TennCare outstanding for 45 days or longer.	Daily	
Final Order.	Final Order.	Daily	
Order of Remand.	Order of Remand.	Daily	
Res IR.appeal	Denial appeal is CLOSED - already have TennCare.	Daily	
Auth R-p - individual	FORM "...Authorization of Individual Representative."	Daily	
Auth R-p - Organization	FORM "...Authorization of Representative Organization."	Daily	
EAU.AppDC	CLOSING delay appeal - already have TennCare.	Daily	
Initial Order rendered by an Administrative Judge.	Initial Order rendered by an Administrative Judge.	Daily	
Cover Pa“e	"See important information from TennCare on the next page of this letter."	Daily	



Letter ID	Description (Policy – Letter Title)	Current or Planned Frequency	Monthly Volume (Where Applicable)
NOH.ph	NOH - phone - application denial - appellant does not met financial requirements for any open category of TennCare.	Daily	
Denial NOH.2	NOH - in person - application denial - appellant does not meet requirements for any group eligible for requested benefits.	Daily	
Denial NOH.2	NOH - phone - application denial - appellant does not meet requirements for any group eligible for requested benefits.	Daily	
GEN.DEN NOH.ph	NOH - phone - application denial - appellant does not meet requirements for any open TennCare Medicaid category.	Daily	
TECH.DEN NOH.ph	NOH - phone - application denial - appellant does not fall within any open category of TennCare eligibility.	Daily	
ELG 301b	DENIAL - not in a group that Medicaid covers.	Daily	
ELG 301c	DENIAL - did not send the information needed to decide if you qualify.	Daily	
ELG 301a	DENIAL - recorded monthly income is over the income limit for Medicaid.	Daily	
EAU.DHS Cont.2	Appeal will be processed by DHS.	Daily	
EAU.effAck	Send proof of the date applied for TennCare.	Daily	
EFFDATE NOH.ph	NOH - phone - effective date - appellant requests an effective date of ____.	Daily	
Effdate res	APPROVED requested effective date - hearing no longer necessary.	Daily	
Effdate res.2	APPROVED requested effective date - hearing no longer necessary.	Daily	
Effdate NOH.3	NOH - in person - effective date appeal - appellant requests an effective date of ____.	Daily	
Effdate NOH.3	NOH - phone - effective date appeal - appellant requests an effective date of ____.	Daily	
ELG.Ala.dh	Before we set up a hearing we need to know more about household income.	Daily	
	Initial Order	Daily	
VFD.in.2	Hearing DENIED - did not tell us about a mistake that might qualify you for Medicaid.	Daily	
AP 2	Receipt of Motion	Daily	
AP 3	Receipt of Petition	Daily	
OIAI.1	After appeal/hearing/Judge's Order - additional information needed - 10 days to respond.	Daily	
OIU AI.90cit	After appeal/hearing/Judge's Order - no response to request for additional information needed - temporary TennCare APPROVED for 90 days.	Daily	
OIU AI.combo	After appeal/hearing/Judge's Order - additional information needed about household income and citizenship/immigration status - 10 days to respond.	Daily	
OIU AI.in	After appeal/hearing/Judge's Order - additional information needed about household income - 10 days to respond.	Daily	



Letter ID	Description (Policy – Letter Title)	Current or Planned Frequency	Monthly Volume (Where Applicable)
es	After appeal/hearing/Judge's Order - additional information needed about Tennessee state residency - 10 days to respond.	Daily	
OIU AI.resubmit	After appeal/hearing/Judge's Order - please RESUBMIT additional information sent - 10 days to respond.	Daily	
OIU AI.ssn	After appeal/hearing/Judge's Order - additional information needed of SSN - 10 days to respond.	Daily	
OIU D.ftp	After appeal/hearing/Judge's Order - application DENIED - appeal CLOSED - no response to request for additional information.	Daily	
OIU D.in	After appeal/hearing/Judge's Order - application DENIED - appeal CLOSED/OPTIONAL CoverKids APPROVAL - income too high.	Daily	
OIU D.ng	After appeal/hearing/Judge's Order - application DENIED - appeal CLOSED - not in a group that Medicaid covers.	Daily	
OIU D.res	After appeal/hearing/Judge's Order - application DENIED - appeal CLOSED - not TN resident OR receiving Medicaid from another state.	Daily	
OIU D.prevcit	After appeal/hearing/Judge's Order - application DENIED - appeal CLOSED/OPTIONAL CoverKids APPROVAL - non citizen or eligible immigrant.	Daily	
OIU IR	After appeal/hearing/Judge's Order - already have TennCare.	Daily	
OIU Order.gen	After appeal/hearing - here is the Judge's Order...	Daily	
Initial Order for continuance of appeal	Initial Order for continuance of appeal	Daily	
Order for withdrawal of appeal	Order for withdrawal of appeal	Daily	
Order	Order	Daily	
Notice of receipt of petition for APPEAL of Initial Order.	Notice of receipt of petition for APPEAL of Initial Order.	Daily	
Reconsideration Order	Reconsideration Order	Daily	
Order of Remand.	Order of Remand.	Daily	
Refer to SSA	Delay appeal CLOSED - SSI recipient - SSA decides start date.	Daily	
Res.approve.1	We agree with your appeal - call if you still want a hearing.	Daily	
GEN.TERM NOH.ph	NOH - phone - termination.	Daily	



Letter ID	Description (Policy – Letter Title)	Current or Planned Frequency	Monthly Volume (Where Applicable)
y en.2	CLOSING denial appeal - too late to appeal/after 40 day appeal period.	Daily	
Untimely Close.effdate.2	CLOSING effective date appeal - too late to appeal/after 40 day appeal period.	Daily	
Accepted.1	Hearing APPROVED - phone.	Daily	
Denied.1	Hearing DENIED - appeal CLOSED - didn't give facts needed.	Daily	
VFD.in.3	Hearing DENIED - did not tell us about a mistake that might qualify you for Medicaid.	Daily	
VFD.in.4	Hearing DENIED - did not tell us about a mistake that might qualify you for Medicaid.	Daily	
WD.Closure.1	Withdrawal form received - CLOSING appeal.	Daily	
Withdrawal form	FORM "How to end your TennCare appeal."	Daily	
WD.Closure.1	Withdrawal form received - CLOSING appeal.	Daily	



LETTER OF DIVERSITY COMMITMENT

Deloitte Consulting LLP

Suite 400
1033 Demonbreun St.
Nashville, TN 37203
September 6, 2016

Dear Alma Chilton,

Deloitte Consulting LLP is committed to achieving or surpassing a goal of 10% percent spend with certified diversity business enterprise firms on State of Tennessee contract # 51758. Diversity businesses are defined as those that are owned by minority, women, small business and Tennessee service-disabled veterans which are certified by the Governor's Office of Diversity Business Enterprise (Go-DBE).

We confirm our commitment of 10% participation on the Contract by using the following diversity businesses:

- (i) Name and ownership characteristics (i.e., ethnicity, gender, Tennessee service-disabled veteran) of anticipated diversity subcontractors and suppliers: (1) AgreeYa—M/WBE; (2) Brilljent--WBE; (3) Technosoft--MBE; and (4) Zycron--MBE.
- (ii) Participation estimates (expressed as a percent of the total contract value to be dedicated to diversity subcontractors and suppliers): (1) AgreeYa—3.25%; (2) Brilljent—1.5%; (3) Technosoft—3.25%; and (4) Zycron—2%.
- (iii) Description of anticipated services to be performed by diversity subcontractors and suppliers: (1) AgreeYa— Application and technology staff augmentation services including development, database administration and testing; (2) Brilljent-- OCMT and help desk related services; (3) Technosoft-- Application and technology staff augmentation services including development, database administration and testing; and (4) Zycron--Application and technology staff augmentation services including development, database administration and testing

We accept that our commitment to diversity advances the State's efforts to expand opportunity of diversity businesses to do business with the State as contractors and sub-contractors.



ther, we commit to:

1. Using applicable reporting tools that allow the State to track and report purchases from businesses owned by minority, women, Tennessee service-disabled veterans and small business.
2. Reporting quarterly to the Go-DBE office the dollars spent with certified diversity businesses owned by minority, women, Tennessee service-disabled veterans and small business accomplished under contract # 51758.

Deloitte Consulting LLP is committed to working with the Go-DBE office to accomplish this goal.

Regards,

Brad Eskind

Deloitte Consulting LLP

Principal

Name: Brad Eskind

Date: September 6, 2016



INTERFACES

The following is a list of Eligibility Operations Interfaces that shall be utilized by the State of Tennessee for the TEDS:

Table 14: Eligibility Operations Interfaces

Source	Source Association	Common File Name	In/Out	Frequency	Destination	Notes
FDSH	CMS	H03 SSA Composite	In	On Demand	TEDS	
FDSH	CMS	H08T Verify Current Income	In	On Demand	TEDS	
FDSH	CMS	H09T Verify Annual Household Income	In	On Demand	TEDS	
FDSH	CMS	H59 Verify Lawful Presence	In	On Demand	TEDS	
FDSH	CMS	H61 VLP Closed Case	In	On Demand	TEDS	
FDSH	CMS	H15 Account Transfer	In	Daily	TEDS	
TMED	TennCare	TMED	In	On Demand	TEDS	
TEDS	TennCare	H15 Account Transfer	Out	Daily	FDSH	
TEDS	TennCare	Inbound Eligibility Interface File	Out	Daily (every business day, Monday - Friday)	TSMIS	TEDS to interChange Eligibility Interface File
TEDS	TennCare	Inbound Linking Interface File	Out	Daily (every business day, Monday - Friday)	TSMIS	Linking file from TEDS that shall be used to link recipients together
TCMIS	TennCare	Eligibility/Demographic Error File	In	Daily (every business day, Monday - Friday)	TEDS	After interChange processes the daily TEDS Eligibility/Demographic File, an error response file shall be generated and sent to TEDS containing all processing errors
TCMIS	TennCare	Linking Error File	In	Daily (every business day, Monday - Friday)	TEDS	After interChange processes the daily TEDS Linking file, an error response file



	Source Association	Common File Name	In/Out	Frequency	Destination	Notes
						shall be generated and sent to TEDS containing all processing errors.
TCMIS	TennCare	Run-Out File Containing Demographics and Address (InterChange to TEDS Outbound)	In	Daily	TEDS	An interface between TEDS and interChange for Accent data during the Run out Period
TCMIS	TennCare	Run-Out File Containing Recipient Eligibility (InterChange to TEDS Outbound)	In	Daily	TEDS	An interface between TEDS and interChange for Accent data during the Run out Period
TCMIS	TennCare	MCO Reported Address	In	Weekly	TEDS	To Update MCO Reported address from MMIS system to TEDS.
TCMIS	TennCare	TPL File	In	Monthly	TEDS	To Update MCO Reported address from MMIS system to TEDS.
TCMIS	TennCare	ME Encounter File	In	Monthly	TEDS	To Update ME Encounter data from MMIS system to TEDS.
TCMIS	TennCare	Priority Population File	In	Monthly	TEDS	To Update Priority Population (PP) data from MMIS system to TEDS.
TCMIS	TennCare	NPI Provider File	In	Monthly	TEDS	To Update Priority Population (PP) data from MMIS system to TEDS.
FDSH	CMS	H31 Verify Non-Employer Sponsored Insurance Minimal Essential Coverage (Non-ESI MEC)	In	On Demand	TEDS	
DHS	SSA	SDX	In	Daily and Monthly	TEDS	
DHS	SSA	BEERS	In	Daily	TEDS	
DHS	SSA	Low Income Subsidy(LIS)	In	Daily	TEDS	



	Source Association	Common File Name	In/Out	Frequency	Destination	Notes
	NHI	Employment and Income Verification Systems (TALX)	In	On Demand	TEDS	TALX will provide employment and salary information upon request by TEDS. TEDS will interface with the Equifax/TALX Work Number system. The Work Number provides employment and salary information
DOL	DOL	Wage, New Hire and UI	In	Quarterly	TEDS	TEDS will receive quarterly wages, new hire, and unemployment information from the Tennessee Department of Labor and Workforce.
DOH	DOH	Vital Statistics	In	Monthly	TEDS	
Correction	DOC	Prisoner File	In	Three times a year	TEDS	
TennCare	TEDS	DIFSLA	Out	Yearly	IRS	TEDS will send eligibility data about cases to the IRS through the Disclosure of Information to Federal, State, and Local Agencies (DIFSLA) interface. This process will send updates on a yearly basis
IRS	IRS	Federal Tax Information (FTI)	In	Yearly	TEDS	This interface will allow TEDS to receive, store and process tax information between itself and the FTI.
TennCare	TEDS	State Verification Exchange (SVES)	Out	Daily	SSA	
TennCare	TEDS	Supplementary Medical Insurance (SMI) Buy-In(s)	Out	Monthly	CMS	
CMS	CMS	Supplementary Medical Insurance (SMI) Buy-In(s)	In	Monthly	TEDS	
PARIS	ACF	Public Assistance Reporting Information System (PARIS)	In	Quarterly	TEDS	



	Source Association	Common File Name	In/Out	Frequency	Destination	Notes
	ACF	Public Assistance Reporting Information System (PARIS)	Out	Quarterly	ACF	
Tennessee Department of Finance, Benefits and Administration	Tennessee Department of Finance, Benefits and Administration	TISS Report	In		TEDS	This interface will allow TEDS to receive and process state employment information
EVVE	NAPHSIS	Electronic Verification of Vital Events (EVVE)	In	On Demand	TEDS	TEDS will interface with the National Association for Public Health Statistics and Information Services' (NAPHSIS) Electronic Verification of Vital Events (EVVE) system to allow immediate confirmation of the information on a birth certificate presented by an applicant



LIST OF REPORTS

The following is a list of Eligibility Operations Reports that are currently generated by the State of Tennessee:

Table 15: Eligibility Operations Reports

Report Name	Type
Active Individuals by Program Report	State
BCC Treatment Plan Report	State
Deceased Report	State
Daily Error Detail Report	State
Daily Error Summary Report	State
Pseudo SSN Report	State
Pending Re-verification Report	State
QI Eligible Individuals Report	State
Application Aging Report	State
Low Income Subsidy (LIS) Report	State
LTSS Recipients With Trusts or Annuities Report	State
Applications Disposed with a Time Frame Report	State
Cost of Living Adjustment Report	State
Applications Report	State
Denials Report	State
Redetermination Report	State
MGMT 2050 Supervisory Report	State
DCS Foster Care and Adoption Assistance Redetermination Report	State
Foster Care and Adoption Assistance Pending Applications Report	State
Error Reports from Mass Change Processing	State
Active Case Report	State/Federal
Application Processed Report	State/Federal
Eligibility Determination Reports	State/Federal
Application Status and Duration	State
Number of Applications Received Through Various Channels	State/Federal
Cases Approaching Timeliness Deadline Report	State
Due and Past Due Case Report	State
Processing Time by Application Date Report	State/Federal
Processing Time by Receipt Date Report	State/Federal
Case Load Report	State
Report on the Amount of Active cases/Tasks assigned to a Unit, and Worker	State
Program Enrollment Forecast	State
Appeal Activity Report	State
Appeals Summary Report	State
KPI Reports	State
Appeal Docket	State
Appeal Dashboard	State
Appeal Case Status Report	State
Appeals Summary Report	State
CHIP Report	State



DEFINITIONS AND ABBREVIATIONS

Table 16: Abbreviations

Abbreviation	Definition
24/7/365	Available twenty-four (24) hours per day, seven (7) days per week, and three hundred sixty-five (365) days per year
ACCENT	Automated Client Certification and Eligibility Network for Tennessee
ACF	Administration for Children and Families
ACH	Automated Clearing House
AOA	Annual Operational Assessment
ATC	Authority to Connect
ATO	Authority to Operate
ATP	Account Transfer Process
BABOK	Business Analysis Body of Knowledge
BC/DR	Business Continuity and Disaster Recovery
BIA	Business Impact Analysis
BOM	Business Operating Model
BPM	Business Process Management
BRD	Business Requirements Document
BRE	Business Rules Engine
BRMS	Business Rules Management System
CAP	Corrective Action Plan
CD	Control Directive
CFR	Code of Federal Regulations
CHIP	Children's Health Insurance Program
CI	Configuration Item
CIO	Chief Information Officer
CIP	Continuous Improvement Process
CISM	Certified Information Security Manager
CISSP	Certified Information Systems Security Professional
CM	Control Memorandum
CMDB	Configuration Management Database
CMPPA	Computer Matching and Privacy Protection Act of 1988
CMS	Centers for Medicare and Medicaid Services
COTS	Commercial Off-the-Shelf
CP	Contingency Plan
CPO	Chief Privacy Officer
DAC	Disabled Adult Child
DB	Database
DBMS	Database Management System
DCS	Department of Children's Services
DDI	Design, Development, and Implementation
DED	Deliverable Expectations Document
DHS	Department of Human Services (State of Tennessee)
DIFSLA	Disclosure of Information to Federal, State, and Local Agencies



Abbreviation	Definition
DNS	Domain Name System
DOH	Department of Health
DOJ	Department of Justice
DOLWD	Department of Labor and Workforce Development
DUNS	Data Universal Numbering System
EA	Enterprise Architecture
ECM	Electronic Content Management
ED	Eligibility Determination
ELC	Enterprise Life Cycle
EMP	Eligibility Modernization Project
EMPPA	Eligibility Modernization Project Process Agreement
EOG	Eligibility Operations Group
ERR	Environment Readiness Review
ESB	Enterprise Service Bus
ESM	Enterprise System Modernization
ETL	Extract, Transform, and Load
EVVE	Electronic Verification of Vital Events
FDSH	Federal Data Services Hub
FEIN	Federal Employer Identification Number
FFATA	Federal Funding Accountability and Transparency Act
FFM	Federally Facilitated Marketplace
FTE	Full-time Equivalent
FTI	Federal Tax Information
GIAC	Global Information Assurance Certification
GLBA	Graham-Leach-Bliley Act of 1999
Go-DBE	Governor's Office of Diversity Business Enterprise
GUI	Graphical User Interface
HCFA	Division of Health Care Finance and Administration (State of Tennessee)
HHS	U.S. Department of Health and Human Services
HIPAA	Health Insurance Portability and Accountability Act of 1996
HITECH	Health Information Technology for Economic and Clinical Health Act
ICD	Interface Control Document
IEA	Information Exchange Agreement
IMS	Integrated Master Schedule
IRC	Internal Revenue Code
IRR	Implementation Readiness Review
IRS	Internal Revenue Service
IS	Information Systems
ISA	Interconnected Systems Agreement
IT	Information Technology
ITIL	Information Technology Infrastructure Library
IV&V	Independent Verification and Validation
KPI	Key Performance Indicator
LAN	Local Area Network
LD	Liquidated Damage
LIS	Low Income Subsidy
LTSS	Long Term Services and Supports



Abbreviation	Definition
&M	Operations and Maintenance
MAGI	Modified Adjusted Gross Income
MARS-E	Minimum Acceptable Risk Standards for Exchanges
MCO	Managed Care Organization
ME	Medically Eligible
MFA	Multi-Factor Authentication
MITA	Medicaid Information Technology Architecture
MMIS	Medicaid Management Information System
MMP	Medicaid Modernization Program
MOU	Memorandum of Understanding
MPI	Master Person Index
MSP	Medicare Savings Program
NAPHSIS	National Association for Public Health Statistics and Information Services
NCPD	Notice of Calculation of Potential Damages
NIAD	Notice of Intent to Assess Damages
NIST	National Institute of Standards and Technology
NOC	Network Operations Center
NPD	Notice of Potential Damages
NTP	Network Time Protocol
OASDI	Old Age, Survivor, and Disability Insurance
OCMT	Organizational Change Management and Training
OMB	Office of Management and Budget
OS	Operating System
OSSTMM	Open Source Security Testing Methodology Manual
PARIS	Public Assistance Reporting Information System
PHI	Protected Health Information
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
PMI	Project Management Institute
PMLC	Project Management Lifecycle
PMO	Project Management Office
PMP	Project Management Plan
POA&M	Plan of Actions and Milestones
PP	Priority Population
PPACA	Patient Protection and Affordable Care Act
QA	Quality Assurance
QI	Qualified Individuals
QM	Quality Management
RA	Risk Assessment
RFC	Request for Change
RFQ	Request for Qualifications
RMF	Risk Management Framework
RPO	Recovery Point Objective
RTM	Requirements Traceability Matrix
RTO	Recovery Time Objective
SADD	System Architecture Design Document
SCA	Security Control Assessment



Abbreviation	Definition
DLC	System Development Lifecycle
SDX	State Data Exchange
SFTP	Secure File Transfer Protocol
SI	System Integration
SIT	System Integration Testing
SLA	Service Level Agreement
SLR	Service Level Requirement
SME	Subject Matter Expert
SMI	Supplementary Medical Insurance
SNAP	Supplemental Nutrition Assistance Program
SOA	Service Oriented Architecture
SOAP	Simple Object Access Protocol
SOP	Standard Operating Procedure
SP	Special Publication
SPMO	Strategic Program Management Office
SQL	Structured Query Language
SSA	United States Social Security Administration
SSI	Supplemental Security Income
SSN	Social Security Number
SSO	Systems Security Officer
SSP	System Security Plan
SSR	Safeguard Security Report
ST&E	Security Test and Evaluation
STS	Strategic Technology Solutions
TANF	Temporary Assistance for Needy Families
TARB	Technical Architecture Review Board
TAS	Technical Advisory Services
TCA	Tennessee Code Annotated
TCCB	Technical Change Control Board
TCMIS	TennCare Management Information System
TCRS	Tennessee Consolidated Retirement System
TEAMS	Tennessee Eligibility Appeals Management System
TEDS	Tennessee Eligibility Determination System
TMED	Tennessee Medical Eligibility Determination System
TNHC	Tennessee Health Connection
TOGAF	The Open Group Architecture Forum
TPL	Third Party Liability
UAT	User Acceptance Testing
USC	United States Code
USPS	United States Postal Service
VLP	Verify Lawful Presence
WAN	Wide Area Network
WBS	Work Breakdown Structure
WCAG	Web Content Accessibility Guidelines
WRS TN Tower	William R. Snodgrass Tennessee Tower
XML	Extensible Markup Language



Table 17: Definitions

Term	Definition
Accessibility Testing	Accessibility Testing is to ensure that the product is compliant with applicable Section 508 Accessibility and WCAG 2.0 AA Standards identified in the completed Section 508 Product Assessment. Software products (whether COTS, Government Off-the-Shelf, or custom-developed software applications) must adhere to Section 508 accessibility and other regulatory requirements governing the use of EIT in accordance with the CMS Policy for Section 508 Compliance. Accessibility Testing is required if the business application has a user interface or produces electronic output for direct access or use by federal employees or the public.
Account transfers	Automated process to receive applications originally entered through the Federally Facilitated Marketplace.
Ad-hoc Testing	Testing performed without planning and documentation where the tester tries to 'break' the system by randomly trying the system's functionality. Ad-hoc testing is typically informal and improvisational.
Alert/Monitoring Testing	Alert/Monitoring Testing is the type of testing that is done where you purposely end test scenarios/cases in actions that would result in a system alert/message, ensuring that the correct actions are taken at that time. Alerts could be from a user perspective (telling the user that they provided the wrong SSN because it begins with 999), or on the system side (the system has received error code 01239, and the system knows how to handle that error code). Monitoring testing is that for known errors/messages, the system should be ready to monitor for those and intercept them and react to them appropriately.
Beta Testing	Beta testing of the Solution is run in a production environment and in parallel with the legacy production system. It allows a comparison of the results of processing between the legacy system and the new solution based on live data in the parallel production environments. It ensures that business sponsors are able to validate that the delivered solution in the target production environment supports all business requirements.
Boundary Testing	Boundary Testing consists of testing the extremes of the input domain, e.g. maximum, minimum, just inside/outside boundaries, typical values, and error values.
Business Management Tool	Repository based on a defined strategy, allowing the defined rules to be managed in terms of versions and variants. The Businesses Rules Management tool shall be available to all relevant stakeholders to define and manage the business rules.
Channel	With reference to FR-INT-001, the channel is the method in which information is received. Examples of channels include, but are not limited to, phone (inbound and outbound), mail, fax, email, FFM Account Transfer, Member portal, Partner portal, and Worker portal.
Communication Management	A component of the Project, Program, or Portfolio Management that describes how, when and by whom information about the project will be administered and disseminated.
Compatibility Testing	Compatibility Testing validates how well a software performs in a particular hardware/software/operating system/network environment. Backward Compatibility Testing tests the application or software in old or previous versions. Forward Compatibility Testing tests the application or software in new or upcoming versions.
Component Integration Testing	Component Integration Testing validates that all software components interact with one another correctly.
Configuration Management	Configuration Management includes the process of documenting formal procedures to apply technical and administrative direction and surveillance to: identify and document the functional and physical characteristics of a product, result, service, or component; control any changes to such characteristics; record and report each change and its implementation status; and support the audit of the products, results or components to verify conformance to requirements. It includes the documentation, tracking systems, and defined approvals necessary for authorizing and controlling changes.
Conversion Testing	Conversion Testing is a testing process prescribed in the Data Conversion Plan that ensure testing is done in a manner reflective on how the system will be used in its "real" environment.
Eligibility Modernization Project	The Eligibility Modernization Project represent the State of Tennessee's highest priority in the Medicaid Modernization Program. The project's scope involves development and implementation of an eligibility determination system for TennCare and CHIP, which shall contain a rules-based decision engine, and that will be compliant with the Affordable Care Act, CMS requirements and all applicable State and Federal Regulations.



Term	Definition
Eligibility Modernization Project Process Agreement	The Eligibility Modernization Project Process Agreement (EMPPA) is used to authorize and document the justifications for using, not using, or combining specific Gate Reviews and the selection of specific deliverables applicable to the investment of Eligibility Modernization Project, including the expected level of detail to be provided. This document authorizes the project to proceed according to agreed upon scope, time, costs, and quality including any related exceptions as outlined within this document.
Eligibility Modernization Project Steering Committee	Members of the Eligibility Modernization Project Steering Committee shall be defined by the State.
End-to-End Testing	End-to-End Testing tests all of the business application's access or touch points, and data, across multiple business applications and systems, front to back (horizontal) and top to bottom (vertical), to ensure business processes are successfully completed. Testing will be conducted on a complete, integrated set of business applications and systems to evaluate their compliance with specified requirements, and to evaluate whether the business applications and systems interoperate correctly, pass data and control correctly to one another, and store data correctly.
Enterprise Testing	Enterprise Testing tests all enterprise business applications that may have direct or indirect touch-points across multiple business applications and systems. Testing will be conducted on a complete, integrated set of enterprise business applications and systems to evaluate their compliance with specified requirements, and to evaluate whether the business applications and systems interoperate correctly, pass data and control correctly to one another, and store data correctly.
Environment Readiness Review	The Environment Readiness Review is a representation of the Validation Readiness Review, Implementation Readiness Review, and Production Readiness Review. These reviews are needed to enter the various CMS environments to test the solution and its contingency operations. Not all solutions will go through all environments. Specific requirements for running in each environment are provided by the environment's owner.
Error Handling Testing	Assesses the ability of the system to properly process erroneous transactions. The main objectives are to ensure that all reasonably anticipated error conditions are recognizable by the application system, accountability for processing errors has been assigned and that the procedures provide a high probability that the error will be properly corrected, and that reasonable control is maintained over errors during the correction process.
Exploratory Testing	Emphasizes the personal freedom and responsibility of the individual tester to continually optimize the quality of his/her work by treating test-related learning, test design, test execution, and test result interpretation as mutually supportive activities that run in parallel throughout the project.
External Resources	Applicants and Members
Failover Clustering	Failover Clustering is a failsafe in which a two or more servers work together to ensure that if one (or more) fail, that another can seamlessly take over the workload without any downtime.
Federal Facilitated Marketplace	A CMS system providing consumer and small business access to a health insurance marketplace for states that have chosen not to build their own marketplace.
Financial Management	Financial Management is a process which brings together planning, budgeting, accounting, financial reporting, internal control, auditing, procurement, disbursement and the physical performance of the project with the aim of managing project resources properly and achieving the project's objectives. Like the concept of Project Management, it is a strategic competency for organizations and can make the difference between a successful project and audit reports.
Functional Requirement	Functional requirements define the expected functionality of the product or Solution to be created.
Functional Testing	Assess the input/output functions of a business application against pre-defined functional and data requirements. Each and every functionality of the system is tested by providing appropriate input, verifying the output and comparing the actual results with the expected results. Types of functional testing include: Unit Testing, Smoke Testing, Sanity Testing, Integration Testing, White Box Testing, Black Box Testing, User Acceptance testing, Regression Testing



Term	Definition
Gate Review	<p>A Gate Review is a phase-driven go/no-go decision point where project activities are reviewed to assure that appropriate requirements are observed. A project cannot proceed without a Go decision by the appropriate senior management for a specific stage gate.</p> <p>Each Gate Review is an independent confirmation by the Gate Review Team (including relevant critical partners) to the IT Governance organization or delegated authority that all required project reviews have been successfully conducted. It checks that the EMP Manager has satisfactorily produced all the required deliverables and met all exit criteria for a given SDLC phase to permit advancement to the next phase.</p> <p>The emphasis of the Gate Review is on:</p> <ul style="list-style-type: none"> a) The successful accomplishment of SDLC phase objectives; b) The plans for the next life cycle phase; and c) The risks associated with moving into the next life cycle phase. <p>The results of the Gate Review Team's assessment are provided with recommended action to the IT Governance organization or delegated authority for decision.</p>
Go-Live	Successful implementation and deployment of all functionality aligned with a Release to the end-user population.
Go/No-Go Decision	Point at which a decision to continue or stop a course of action is made. If a decision is made to "go", this denotes that the solution conforms to the documented specifications.
GUI Navigation Testing	Validates the system logic behind when a user navigates from one screen to another. In a GUI system, at each time frame there is an active screen interacting with the user. The active screen, when triggered by specific event, will disappear or be deactivated and another one will be loaded in or activated. The two screens are logically connected by the event and such a scenario where the screen focus is shifted is called screen navigation.
GUI Software Testing	Testing through the use of a GUI, to ensure it meets agreed upon specifications as defined prior to software development. GUI testing evaluates design elements such as layout, colors, fonts, font sizes, labels, text boxes, text formatting, captions, buttons, lists, icons, links, and content.
Human Resources Management	A component of the Project Management Plan that describes how the roles and responsibilities, reporting relationships, and staff management will be addressed and structured.
Implementation Readiness Review	Gate Review to ensure the solution completed thorough Integration Testing and is ready for turnover to the formal, controlled test environment for Production Readiness.
Interface Testing	Interface Testing tests all of the business application's access or touch points, and data, across multiple business applications and systems, front to back (horizontal) and top to bottom (vertical), to ensure business processes are successfully completed. Testing will be conducted on a complete, integrated set of business applications and systems to evaluate their compliance with specified requirements, and to evaluate whether the business applications and systems interoperate correctly, pass data and control correctly to one another, and store data correctly. This testing function is sometimes referred to as End-to-End Integration Testing.
Internal Resources	Users of Worker and Partner Portal
IV&V Attestation	IV&V Attestation is the process of establishing documented evidence that the solution does what it has been designed to do and will continue to operate correctly in the future. IV&V Attestation provides objective evidence that all software requirements have been implemented correctly and completely. This includes evidence that the solution produces the intended results and that all functionality is traceable to solution requirements.
MARS-E	A document suite of guidance, requirements, and templates assembled by CMS. The document suite contains implementation standards for key security requirements contained in Department of Health and Human Services (HHS) ACA Regulations (45 CFR §§155.260 and 155.280) and other State and Federal regulations and policies. This is a harmonized set of guidelines inclusive of CMS and IRS requirements. Any reference to this package, even under CMS context references, should also infer compliance with current IRS Safeguards Program and IRS Pub 1075 where applicable by usage of data type and/or classification.



Term	Definition
Medicaid Modernization Program	Medicaid Modernization Program is comprised of multiple sub-projects and is an initiative by the State of Tennessee to improve health care quality and access for members, achieve greater accountability for outcomes, create a more predictable and sustainable Medicaid budget, achieve more flexibility and scalability to meet the future needs of TennCare and CHIP program.
Member Matching	Determination if any given individual is a current Medicaid member (if they have a current Medicaid Plan)
Member Portal	The Member Portal shall provide Solution access to applicable insurance plan members or applicants.
Near Real Time	As defined by CMS' "Achieving Real Time Eligibility Determinations" presentation, near real time is "promptly and without undue delay."
Negative Testing	A Negative test will assess the response of the system outside of normal parameters and is designed to assess the system's ability to successfully perform error handling with the unexpected input. The tester uses invalid inputs or imitates unexpected user behavior to expose potential errors and system risk.
Non-Functional Requirement	Non-functional Requirements define the specific technical functionality that must exist in the Solution to deliver the business functionality, the operational objectives of the Solution, and the methodology and processes to manage the Solution delivery.
Operational Readiness Testing	Ensure that the operational readiness is appropriately comprehensive and inclusive of all elements of the State enterprise impacted by the TEDS deployment. Operational readiness may include checking the backup/restore facilities, IT disaster recovery procedures, maintenance tasks, and periodic check of security vulnerabilities.
Page	Viewable screens within the Solution
Partner Portal	The Partner Portal shall provide Solution access to current TennCare Pre-Admission Evaluation System users, nursing homes, and hospitals. The Partner Portal shall be accessible both within the State of Tennessee network, and outside of the State of Tennessee network.
Performance Management	Performance Management is the use of performance measurement information to help set agreed-upon performance goals, allocate and prioritize resources, inform managers to either confirm or change current policy or program directions to meet those goals, and report on the success in meeting those goals.
Performance Testing	Assesses the capacity and throughput of a business application and/or infrastructure in processing time, CPU utilization, network utilization, and memory and storage capacities relative to expected normal (average and peak) user and processing load as defined in the system's requirements document and/or Operation Manual document.
Prime Contractor	A Contractor that holds the System Integration contract to design, develop, and implement the eligibility system.
Production Instance	Denotes the version of the code that is in operation.
Quality Control Testing	Testing that determines if the system is performing and adheres to the predetermined requirements and expectations. The testing will verify the system was developed as outlined in the documented requirements.
Quality Management	Quality Management includes the process and activities of performing organization that determine quality policies, objectives, and responsibilities so that the project will satisfy the needs for which it was undertaken. Quality Management uses policies and procedures to implement, within the project's context, the organization's quality management system and, as appropriate, it supports continuous process improvement activities as undertaken on behalf of the performing organization. Quality Management works to ensure that the project requirements, including product requirements are met and validated.
Release	A Release is the distribution of the updated version of the solution. Release can be a stage in development of a solution or maturity for a piece of software: ranging from its initial development to its eventual release, and including updated versions of the released version to help improve software or fix bugs still present in the solution.
Recovery Testing	Validates how well an application is able to recover from crashes, hardware failures, and other similar problems. Recovery testing is the forced failure of the software in a variety of ways to verify that recovery is properly performed.



Term	Definition
Regression Testing	Selective re-testing to validate that modifications have not caused unintended functional or data results and that the application still complies with its specific requirements.
Reliability Testing	Monitor the operational availability of business applications and/or infrastructure, problems/incidents, performance/service level, and capacity utilization of production systems, and will validate the gathered data against expected results (documented in the system's requirement document and/or Operation Manual document) to ensure that the implemented application or infrastructure performs as expected in production. This testing function is sometimes referred to as Reliability Validation, Burn in Period, Reliability Test, or Extended Reliability Test.
Requirements Management Tool	Repository based on a defined strategy, identifying the relationship, interface, or dependency on data in other tools. A Requirements Management tool will describe how the traceability strategy and how the requirements will be structured.
Requirements Traceability Matrix	A grid that links product requirements from their origin to the deliverables that satisfy them. The implementation of Requirements Traceability Matrix helps ensure that each requirement adds business value by linking it to the business and project objectives. It provides a means to track requirements throughout the project lifecycle, helping to ensure that requirements approved in the requirements documentation are delivered at the end of the project. Finally, it provides a structure for managing changes to the scope.
Risk and Issue Escalation	Process of identifying time frames and the management chains (names) for escalation of issues and risks that cannot be resolved at a lower staff level.
Risk Management Framework (RMF)	Framework required by the State of Tennessee to inform, advise, and manage the activities of security categorization (as defined in the federal publication FIPS 199), security control selection and implementation, security control assessment, information system authorization (ATO and ATC), and security control monitoring. The State must approve the RMF and it must meet standard practices associated with effective implementation, management, and maintenance of the NIST RMF.
Scalability Testing	Identify major workloads and mitigate bottlenecks that can impede the scalability of the application. Scalability testing is a subset of performance testing. Performance testing can be used to establish a baseline against which future performance tests can be compared against.
Schedule Management	Schedule Management is a subsidiary of, and integrated with, the Project Management. Schedule Management identifies a scheduling method and scheduling tool and sets the format and establishes criteria for developing and controlling the project schedule. The selected scheduling method defines the framework and algorithms used in the scheduling tool to create the schedule model. Some of the better known scheduling methods include Critical Path Method and Critical Chain Method.
Scope Management	Scope Management is a discipline of Project Management that defines how the project scope will be defined, validated and controlled. The key benefit of the process is that it provides guidance on how scope will be managed throughout the project.
Security and Privacy Controls	<p>The security and privacy controls that apply to information assets, in principal, are commensurate with the potential impact on information assets, organizational operations, or individuals, should there be a compromise of confidentiality, integrity, or availability of the information. Federal and State regulations and policies define specific classifications of data that require specific levels of control. In some instances, such as FTI, the source of the data is a factor in determining the security and privacy controls that apply to data elements. Security and privacy controls shall include, at a minimum:</p> <ul style="list-style-type: none"> a) Role based access b) Data ownership/authorization rights c) MFA - when a third party accesses sensitive information about another person d) Encryption of information in transit e) Encryption of information at rest f) Data masking/synthetic data requirements g) Secure file transfers h) Masking of data elements on displays or reports (for example, replacing all but the last four digits of a key person identifier such as an SSN) i) Recording an audit trail of who accesses what specific sensitive data and when



Term	Definition
	Classification of the data, with respect to sensitivity of content and source governance, drives the security and privacy controls for the data. This is a key activity that shall be completed to the approval of the State Chief Security Officer, Chief Privacy Officer (CPO), and other stakeholders at project initiation. This classification serves as the foundation for security activities throughout the SDLC.
Security and Privacy Management Tools	<p>The State requires management of security and privacy in compliance with Federal and State regulations and policies. The Contractor shall provide the expertise to utilize these tools throughout the SDLC for the project, including, at a minimum:</p> <ul style="list-style-type: none"> a) Database Security Monitoring and Compliance Reporting (Oracle Audit Vault or functional equivalent) b) Vulnerability Scan (Nessus or functional equivalent) c) Security Information and Event Management (Qradar or functional equivalent) d) Static Code Checking (Fortify or functional equivalent) e) Log Server (SysLog Server or functional equivalent) f) File Integrity Checker (Advanced Intrusion Detection Environment or functional equivalent) g) Virus Scan (Symantec Endpoint Protection (Windows), Clam Antivirus (Linux), or functional equivalent) h) Compliance and Information Security Program Management (Lockpath Keylight or functional equivalent) i) Identity and Access Management (Oracle Identity and Access Management or functional equivalent) j) System Monitoring (Sitescope or functional equivalent) k) Application Scanning (NetSparker Server or functional equivalent)
Security Compliance Testing	A Security Test & Evaluation (ST&E) will validate all applicable security controls defined in the CMS Policy for the Information Security Program. ST&E validates that business application or infrastructure are implemented correctly, operate as intended, and produce the desired outcome with respect to meeting the security requirements for the application or infrastructure. ST&E may include vulnerability scanning, penetration testing, and/or testing security standards and policy.
Security Control Assessment	Addresses how the evaluator shall perform active security testing of the information system to assess the implemented security controls and to identify gaps between the implemented controls and the documented controls. The evaluator shall capture, document and retain information sufficient to prove the existence or non-existence of vulnerabilities discovered through the assessment process. Any gaps identified during the documentation review, interviews or security control assessments will be reported in the findings report based on the CMS Reporting Procedure for Information Security Assessments.
Smoke/Sanity Testing	Smoke Tests are shallow and wide, testing all areas of the application without getting deep in focus. Sanity tests are narrow and deep regression tests, testing one or a few areas of functionality. These tests are used to determine if an environment or Release is stable enough to begin a testing cycle.
Solution or System	Solution describes features, functions, and characteristics of the product, system, service, or result that will meet the business and stakeholder requirements.
Source	With reference to FR-INT-001, the source is the entity that is interfacing with the future state Solution.
Stakeholder Management Process	The Stakeholder Management Process is used to identify the project's key stakeholders and their roles and responsibilities within the project, provide an analysis of their interests in and attitude towards the effort, and manage stakeholder participation to secure positive support for the project. The Stakeholder Management process capability identifies the impacted groups or individuals and their needed level of commitment and establishes detailed engagement plans for impacted stakeholders to ensure project success.
Successful Release	All designed capabilities are operational according to specification and the State accepts the Go-Live deliverable



Term	Definition
Technical Sandbox	The Technical Sandbox is an isolated and restricted computer environment where developers conduct testing on untested and untrusted codes. A restricted environment is created to ensure stability and security.
Test Management Tool	Repository for all test documents, cases, results, statuses, and how testing was done. The testing repository will include all automated and manual activities.
Time-travel	Ability to future-date or back-date operating system date in order to assist in testing of functionality related to time-driven events.
Unit Testing	Unit Testing is performed by the system developer/maintainer subsequent to or in parallel with application development to assess and correct the functionality and data of a business application's individual code modules.
Usability Testing	Testing technique typically performed by end users to verify the appropriate level of ease with which a user can learn to operate, prepare inputs for, and interpret outputs of a system or component.
User Acceptance Testing	Assess and accept the overall functionality and interoperability of a business application's solution in an operational mode. UAT allows end users to use the solution in a manner that most resembles actual production use. Testing is performed against the Business Product/Code based on the user's requirements, and may include Training Artifacts and User Manual. UAT may also assess the user's experience with the application to determine if users are able to accomplish their tasks and goals satisfactorily and efficiently to help identify potential problems and possible improvements (i.e., usability testing). Success in UAT will result in a sign-off by the business owner, validating that the business application meets documented requirements.
Worker Portal	The Worker Portal shall provide Solution access to member services workers, appeals unit workers, service center staff (TNHC intake, including intake for CHIP & the Redetermination Vendor), State office users outside of member services, including internal audit, policy, fiscal, and help desk, Department of Children's Services (Foster Care), and other Department of Health (DOH) application intake. The Worker Portal shall be accessible both within the State of Tennessee network, and outside of the State of Tennessee network.



FRAMEWORK DELIVERABLES

TAS Contract Reference #	Framework Deliverable Name	Framework Deliverable Type	Framework Deliverable Description	Applicable Contract Deliverable	Relevant Contract Sections
A.17	Enterprise Architecture (EA) - Business Operating Model (BOM) Management Plan	Current	The plan details the approach, related activities and deliverables that will be completed for each Program project and that will be included as part of the Program and each project's EA – BOM Design. The EA-BOM Management Plan includes State architectural an infrastructural standards and is based on industry leading practices and enterprise reference architectures.	Project-wide	A.7
A.18	Project Charter Standards Program Project Charter Template	Future	Program Project Charter Standards and a Program Project Charter template and method for management of the creation of Program Project Charters for State and other stakeholder review, and State approval.	Deliverable 1	A.8
A.25	Project and Systems Development Lifecycle Management Plan	Current	The plan details the roles of the TAS Contractor, the State, the State MMP Contractors in the overall Project and Systems Development Lifecycle Management Design. The plan details the standards for the Project and Systems Development Lifecycle Management framework, and the tools and technologies used to manage it. This plan serves as specifications for the creation of each project's related plans that are to be performed	Deliverable 1 Deliverable 17 Deliverable 18	A.8, A.19,A.19.14



TAS Contract Reference #	Framework Deliverable Name	Framework Deliverable Type	Framework Deliverable Description	Applicable Contract Deliverable	Relevant Contract Sections
			by the applicable State MMP Contractors.		
A.26	Stakeholder Analysis and Management Plan	Future	The plan defines the approach to identifying, analyzing, recording and maintaining the Stakeholders for each Program project in a Program Stakeholder Register. The plan details roles for TAS Contractor, the State, the State MMP Contractors and any other Program actor in the completion and State approval of Stakeholder analysis. The final designation of roles to be performed by each party shall be made by the State.	Deliverable 1	A.102, A.20
A.27	Business Analysis Plan	Future	The plan details the roles of the TAS Contractor, the State, and the State MMP Contractors in the overall Business Analysis approach. This plan also serves as specifications for the creation of each project Business Analysis Plan that is to be performed by the applicable State MMP Contractors.	Deliverable 5	A.10.3.3
A.28	Business Process Management Plan	Future	The plan details the roles of the TAS Contractor, the State, and the State MMP Contractor in the overall creation and maintenance of business processes. The plan also details the standards for the Program business process management framework and the standards for the definition of the business processes. This plan also serves as specifications for the creation of each project Business Process Management Plan that is	Deliverable 5 Deliverable 19 Deliverable 20 Deliverable 26	A.10.7



TAS Contract Reference #	Framework Deliverable Name	Framework Deliverable Type	Framework Deliverable Description	Applicable Contract Deliverable	Relevant Contract Sections
A.29	Business Rules Management Plan	Future	<p>to be performed by the applicable State MMP Contractors.</p> <p>The plan details the roles of the TAS Contractor, the State, and the State MMP Contractors in the overall Business Rules Definition framework and approach. The plan also details the standards for the Program business rules management framework, the standards for the definition of the rules, and the technologies used to deploy and maintain business rules. This plan also serves as specifications for the creation of each project Business Rules Management Plan that is to be performed by the applicable State MMP Contractors.</p>	Deliverable 4	A.10.8
A.30	Requirements Management Plan	Current	<p>The plan details the roles of the TAS Contractor, the State, and the State MMP Contractors in the overall Requirements Management framework and approach. The plan also details the standards for the Program requirements management framework, the standards for the definition of the requirements, and the technologies used to deploy and maintain requirements. This plan also serves as specifications for the creation of each project Requirements Management Plan that is to be performed by the applicable State MMP Contractors</p>	Deliverable 3	A.10.9



TAS Contract Reference #	Framework Deliverable Name	Framework Deliverable Type	Framework Deliverable Description	Applicable Contract Deliverable	Relevant Contract Sections
A.31	Configuration Management Plan	Future	<p>The plan details the roles of the TAS Contractor, the State, and the State MMP Contractors in the overall Configuration Management framework and approach. The plan also details the standards for the Program configuration management framework, the standards for Configuration Management, and the technologies used to perform Configuration Management. This plan also serves as specifications for the creation of each project Configuration Management Plan that is to be performed by the applicable State MMP Contractors. The Configuration Management Plan defines the controls that will be followed for all the projects within the Program related to managing the changes to any item under configuration control. This includes deliverables as well as software systems developed to meet functional requirements. All projects in this Program will follow the defined Configuration Management Plan to maintain version integrity of documents as well as software systems.</p>	Deliverable 1 Deliverable 27	A.17.10
A.32	Change Management Plan	Future	<p>The Plan details the roles of the TAS Contractor, the State, and the State MMP Contractors in the overall Change Management framework</p>	Deliverable 1	A.17.11



TAS Contract Reference #	Framework Deliverable Name	Framework Deliverable Type	Framework Deliverable Description	Applicable Contract Deliverable	Relevant Contract Sections
			and approach. The plan will also detail the standards for the Program change management framework, the standards for Change Management, and the technologies used to perform Change Management. This plan also serves as specifications for the creation of each project Change Management Plan that is to be performed by the applicable State MMP Contractors.		
A.33	Test Management Plan	Current	The plan details the roles of the TAS Contractor, the State, and the State MMP Contractors in the overall Test Management. The plan details the roles of the TAS Contractor, the State, and the State MMP Contractors in the overall Test Management performed by the applicable State MMP Contractors. The Test Management Plan defines the standard test management phases and the related entrance and exit criteria the processes and standards to be used in all phases of testing for all projects. The plan includes definition of the specific roles and services the TAS Contractor will provide in Program Test Management on behalf of the State and in relation to the various State MMP Contractors.	Deliverable 6	A.10.10.8
A.34	Interface / Integration Management Plan	Current	The plan details the roles of the TAS Contractor, the State, and the State MMP Contractors in the	Deliverable 22	A.10.11



TAS Contract Reference #	Framework Deliverable Name	Framework Deliverable Type	Framework Deliverable Description	Applicable Contract Deliverable	Relevant Contract Sections
			<p>overall Interface/ Integration Management framework and approach. The Interface/ Integration Management Plan defines the framework for Interface/Integration design, testing and deployment that will support the formation of each Program project's Interface/Integration Management plans that will collectively yield overall optimal, enterprise systems Interface/Integration.</p>		
A.35	System Performance Management Plan	Future	<p>The plan details the roles of the TAS Contractor, the State, and the State MMP Contractors in the overall System Performance and Availability framework and approach. The System Performance and Availability Management Plan defines the framework for System Performance and Availability design, testing and deployment that will support the formation of each Program project's System Performance and Availability plans that will collectively yield overall optimal, System Performance and Availability.</p>	Deliverable 1 Deliverable 13	A.8, A.17.5
A.36	System Capacity Plan	Future	<p>The plan details the roles of the TAS Contractor, the State, and the State MMP Contractors in the overall System Capacity framework and approach. The System Capacity Plan defines the framework for System Capacity design, testing and deployment that will</p>	Deliverable 11	A.17.5.4



TAS Contract Reference #	Framework Deliverable Name	Framework Deliverable Type	Framework Deliverable Description	Applicable Contract Deliverable	Relevant Contract Sections
			<p>support the formation of each Program project's System Capacity plans that will collectively yield overall optimal, System Capacity. It shall include specifications for each project to perform a Business Impact Analysis and insure the System Capacity approach and technology selected and designed represents industry leading practices and is appropriate for the project with consideration for existing State standards and applicable federal regulations/ requirements. It shall also include specifications for the System Capacity process design framework detailing the industry standard Interface/Integration process elements.</p>		
A.37	Software Problem Resolution Standards / Procedures Plan	Future	<p>The plan details the roles of the TAS Contractor, the State, and the State MMP Contractors in the overall Software Problem Resolution Standards/Procedures framework and approach. The plan also details the standards for the Software Problem Resolution Standards/Procedures framework, the standards for Software Problem Resolution/Procedures, and the technologies used to perform Software Problem Resolution / Procedures. This plan also serves as specifications for the creation of each project Change Management</p>	<p>Deliverable 46 Deliverable 58</p>	<p>A.10.10, A.10.11</p>



TAS Contract Reference #	Framework Deliverable Name	Framework Deliverable Type	Framework Deliverable Description	Applicable Contract Deliverable	Relevant Contract Sections
A.38	Integrated Business Continuity / Disaster Recovery Plan	Future	<p>Plan that is to be performed by the applicable State MMP Contractors.</p> <p>The plan defines the framework for BC/DR design, testing and deployment that will support the formation of each Program project's BC/DR plans that will collectively yield an overall optimal, integrated enterprise BC/DR capability. It shall include, but not be limited to specifications for each project to perform a Business Impact Analysis and insure the technology selected and designed represents industry leading practices and is appropriate for the project with consideration for existing State standards and applicable federal regulations/requirements. The plan shall also include specification for the BC / DR process design framework detailing the industry standard BC/DR process elements. The plan drives an enterprise approach to all project BC/DR design, testing and deployment. This plan also defines the type of metrics and acceptance criteria that are to be defined for each project's BC/DR plan.</p>	Deliverable 10	A.17.7
A.39	Integrated System Implementation Management Plan	Future	The plan defines the framework for Integrated System Implementation Management activities. It shall include, but not be limited to specifications	Deliverable 7	A.10.12



TAS Contract Reference #	Framework Deliverable Name	Framework Deliverable Type	Framework Deliverable Description	Applicable Contract Deliverable	Relevant Contract Sections
			<p>for each project to perform a Business Impact Analysis and insure the technology selected and designed represents industry leading practices and is appropriate for the project with consideration for existing State standards and applicable federal regulations/ requirements. The plan shall also include specification for the System Implementation process framework detailing the industry standard System Implementation process elements. The plan drives an enterprise approach to all project System Implementation activities. This plan also defines the type of metrics and acceptance criteria that are to be defined for each project's System Implementation Plan that is to be performed by the applicable State MMP Contractors.</p>		
A.40	Post Implementation Evaluation Plan	Future	<p>The plan details the roles of the TAS Contractor, the State, the State MMP Contractors in the overall Post Implementation Evaluation framework and approach. The plan also details the standards for the Post Implementation Evaluation framework and the standards for the Post Implementation Evaluation processes. This plan also serves as specifications for the creation of each project System Capacity Plan</p>	Deliverable 7 Deliverable 57	A.10.13



TAS Contract Reference #	Framework Deliverable Name	Framework Deliverable Type	Framework Deliverable Description	Applicable Contract Deliverable	Relevant Contract Sections
			<p>that is to be performed by the applicable State MMP Contactors. The Post Implementation Evaluation Plan describes the metrics and criteria by which the TAS and IV&V Contractors will perform the post implementation evaluation for each project. The plan defines how the EA-BOM design will be used during the evaluation process. This plan also defines the process to be used to identify the approach to decommissioning replaced systems in a cost effective manner and covers cancelation of licenses, confirming data removal, and confirming termination of hardware and software use.</p>		
A.41	<p>Integrated Program Operations and Maintenance (O&M) Planning / Deployment Plan</p>	Current	<p>The plan defines the framework for Integrated Program Operations & Maintenance Planning/Deployment activities. The plan drives an enterprise approach to all project Program Operations & Maintenance Planning/deployment activities as well as defines the type of metrics and acceptance criteria that are to be defined for each project's Program Operations & Maintenance Planning/Deployment Plan.</p>	<p>Deliverable 46 Deliverable 58</p>	



TAS Contract Reference #	Framework Deliverable Name	Framework Deliverable Type	Framework Deliverable Description	Applicable Contract Deliverable	Relevant Contract Sections
A.42	State & Federal Agency / Committee Communications Management Plan	Future	The plan details the roles of the TAS Contractor, HCFA State personnel and other State MMP Contractor personnel involved in external State and Federal Agency/Committee Program Communications, regular and ad hoc Program communications. Communications shall include Program status, risks, issues, and action items identification, reporting, escalation and mitigation/resolution with agencies and committees. The plan shall include a State and Federal Agency I Committee communications management plan involving all TAS Key Project Personnel and Non-Key Project Personnel, the State and other State MMP Contractor personnel communications involving these agencies / committees that categorizes communication types, their priorities and communication and issue escalation paths.	Deliverable 1	A.5, A.10.1, A.24
A.43	Procurement Management Plan	Future	The plan details the roles, processes and technologies involved in drafting, submitting, reviewing and approving all procurements of professional services, products and sub-systems required for or associated with the Program. The plan shall be based on State procurement laws,	Project-wide	A.17.12, A.24



TAS Contract Reference #	Framework Deliverable Name	Framework Deliverable Type	Framework Deliverable Description	Applicable Contract Deliverable	Relevant Contract Sections
			policies and procedures. The plan addresses all necessary procurement steps both inside and outside of HCFA.		
A.46	Organizational Change & Training Management Plan	Current	The plan defines the overall Program strategy and methodology to be used to manage organizational change management and training. The plan also defines the planning and execution of the project organizational change activities and training delivery.	Deliverable 1	A.10.2, A.20
A.47	Communication Management Plan	Current	The plan defines how project communications will be planned, structured, monitored, and controlled for all Stakeholders. This plan also defines the framework for the Communications Management Plans for each of the projects included within the Program. The details associated with managing communications on the various projects will be developed by the Project Manager of that specific project in accordance with this defined framework.	Deliverable 1	A.8, A.10.11
A.48	Document Management Plan	Future	The plan documents the State's framework approach to Program document management. The approach prescribes the people (roles and responsibilities), processes and technologies, new or existing, that will be used for document management over the lifecycle of the Program.	Deliverable 1	A.24



TAS Contract Reference #	Framework Deliverable Name	Framework Deliverable Type	Framework Deliverable Description	Applicable Contract Deliverable	Relevant Contract Sections
			Industry leading practices shall be used to determine the roles and responsibilities of the State, the State MMP Contractors and any other relevant parties.		
A.49	Program Governance Management Plan	Current	The plan establishes the framework for how people, processes and technology will work together for effective planning, decision making and oversight of Program projects and their subsequent operations and maintenance.	Deliverable 1	A.5
A.50	Quality Management Plan	Future	The plans details the (i) scope and approach for MMP Quality Management; (ii) quality management roles of the TAS Contractor, the State, and the State MMP Contractors; and (iii) quality standards and the metrics that will be used to measure the standards.	Deliverable 1	A.8
A.51	Issues, Risks, Action Items Registers Plan	Future	The plan prescribes the technologies, new or existing, that will be used for issues, risks and action items registries over the lifecycle of the Program. Industry leading practices inform the prescribed registers and the related roles and responsibilities for each major Program participant including the State and the State MMP Contractors.	Deliverable 1 Deliverable 15	A.19.14



ATTACHMENT 9

This Attachment contains the following Sections as referenced in Contract Section A.6.1.

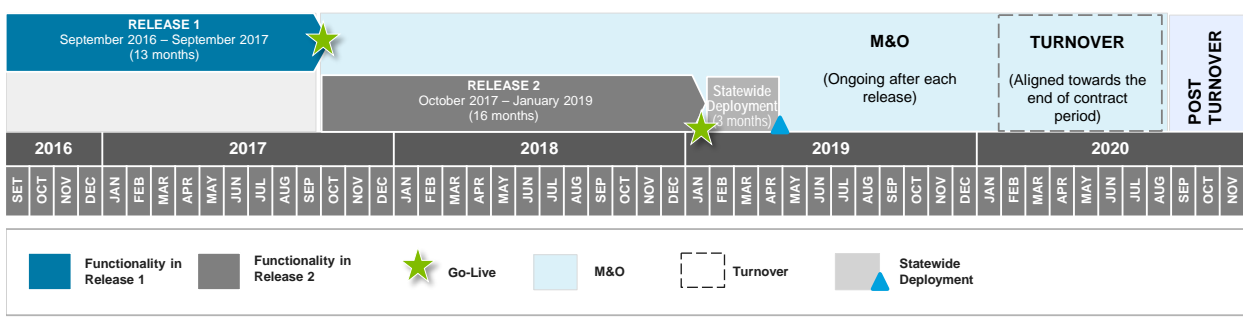
- Release Schedule
- Assumptions
 - Effort Assumptions
 - Cost Assumptions
- Functional Requirements
- Non-Functional Requirements



Release Schedule

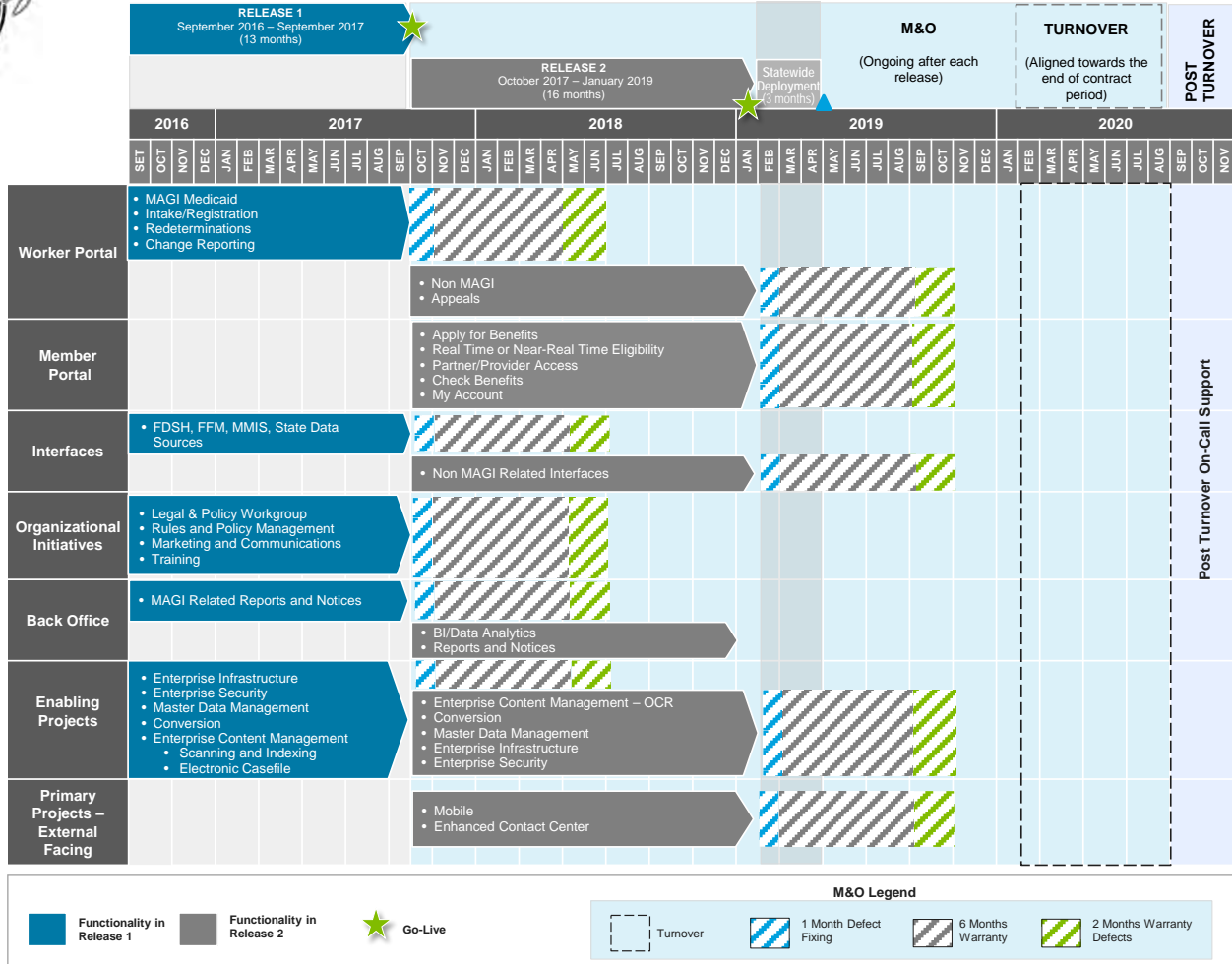
...e timelines reflected below were copied from Contractor's original Proposal response. Notwithstanding the dates in such timelines, the parties agree that the actual start date will be the Project Start Date (as defined in Section A.3 of the Contract) and all subsequent dates in the timelines are shifted accordingly as a result of the change to the start date, provided that in finalizing the Baselined Work Plan and Schedule (Deliverable 16), Contractor and the State shall work together to agree in writing to any changes in the Release 1 schedule (and any resulting changes to other aspects of Release 1, such as timelines or resources, as necessary), with the goal of keeping the Release 1 Go-Live date as shown in the timelines below.

The following figures summarize our proposed timeline at a high level.



TN_Medicaid EMP-005a_9

The timeline chart below highlights the key components delivered for each release.





Assumptions

Port Assumptions

Item #	Proposal Section, Page, Paragraph	Description	Rationale	Potential Impact
1	C.3.1, page C-42	Our overall work effort is based on our proposed release schedule, including the two release schedule and the specifics of each.	Most effective and efficient approach to meet the State's vision	Impacts project schedule and work effort

See release schedule above.

Item #	Proposal Section, Page, Paragraph	Description	Rationale	Potential Impact
2	C.3.1.2, Table C.3-3 and following paragraph, page C-45 - C-46	Our overall work effort is based on our proposed scope of Release 1, including the number of notices, reports and interfaces.	Provides a clear definition of the release 1 scope	Impacts project schedule and work effort

The table below illustrates the key modules that will be implemented in Release 1.

Key Modules	Key Functionalities	NextGen Components
Worker Portal	<ul style="list-style-type: none"> MAGI/CHIP Intake/Registration Redetermination Eligibility Case Management Alerts Automated Processes MAGI related Notices, Reports and Interfaces 	<ul style="list-style-type: none"> Java on IBM Application Server Oracle Database HP Exstream IBM WebSphere Operational Decision Management (ODM) for BRMS
Interfaces	<ul style="list-style-type: none"> State Interfaces Federal Interfaces Other Misc. Interfaces 	<ul style="list-style-type: none"> IBM Integration Bus
Enterprise Content Management	<ul style="list-style-type: none"> Scanning and Indexing, Electronic Case File 	<ul style="list-style-type: none"> IBM DataCap image capture integration with State Existing FileNet
Back Office	<ul style="list-style-type: none"> Operational Reports Executive Level Reports 	<ul style="list-style-type: none"> Deloitte ClearLight



Table below summarizes the number of Notices, Reports, and Interfaces that are included in Release 1. We understand that additional notices, reports, and interfaces may be identified as part of requirements. The scope allows an increase of up to 10% per category with no impact to the project schedule or financials, if identified during the requirements phase.

Notices	Reports	Interfaces
79	27	22

Release 1: Notices, Reports and Interfaces

Notices	Reports	Interfaces
Demographic - Address Change Letter	Active Individuals by Program Report	FFM – Interface (inbound and outbound)
Demographic -Temporary Reinstatement of Eligibility	Deceased Report	State Employee Health Coverage with state source - Interface
Demographic - Adding Members to case	Daily Error Detail Report	H03 SSA Composite
Demographic - Date of Birth change	Daily Error Summary Report	H08T Verify Current Income
Demographic - SSN change	Pseudo SSN Report	H09T Verify Annual Household Income
Creditable Coverage Certificate - Daily	Pending Re-verification Report	H59 Verify Lawful Presence
Involuntary Termination - has access to health insurance or has health insurance	QI Eligible Individuals Report	H61 VLP Closed Case
Voluntary Termination - recip "asked"	Application Aging Report	H15 Account Transfer
Involuntary Termination - recip out of state	Applications Disposed with a Time Frame Report	TMED
Medicaid appr, new add or less than 62 day break, with MCO change option	Cost of Living Adjustment Report	MMIS Inbound Eligibility Interface File
Medicaid appr new or greater than 62 break with MCO change option	Applications Report	MMIS Inbound Linking Interface File
Medicaid approval as presumptive (pregnant) with MCO change option	Denials Report	MMIS Eligibility/Demographic Error File
Redetermination appr with copays; no MCO change option	Redetermination Report	MMIS Linking Error File
Redetermination appr without copays; no MCO change option	MGMT 2050 Supervisory Report	MMIS Run-Out File Containing Demographics and Address (InterChange to TEDS Outbound)
Medicaid Eligibility Redetermination appr without copays; no MCO change option	Error Reports from Mass Change Processing	MMIS Run-Out File Containing Recipient Eligibility (InterChange to TEDS Outbound)
TEDS - Denial for TCM, TCS, CoverKids, HealthyTNBabies	Active Case Report	MMIS MCO Reported Address
TEDS - Denied due to No Response	Application Processed Report	MMIS TPL File
TEDS - Authorized rep change	Eligibility Determination Reports	MMIS ME Encounter File
TEDS - Generic change notice	Application Status and Duration	MMIS Priority Population File



Notices	Reports	Interfaces
TEDS - Citizenship verification - Approved for 90 days , TCM, CoverKids	Number of Applications Received Through Various Channels	MMIS NPI Provider File
TEDS - Electronic notice selection	Cases Approaching Timeliness Deadline Report	H31 Verify Non- Employer Sponsored Insurance Minimal Essential Coverage (Non-ESI MEC)
TEDS - Request for verification	Due and Past Due Case Report	Federal Tax Information (FTI)
Special mailing - EOG -Request for verification of income	Processing Time by Application Date Report	
Special mailing - EOG - Request for verification of citizenship	Processing Time by Receipt Date Report	
Special mailing - EOG - Request for verification of income and citizenship	Case Load Report	
TEDS - Out of state - 10 day response	Report on the Amount of Active cases/Tasks assigned to a Unit, and Worker	
TEDS - Portal Password has changed	CHIP Report	
TEDS - Cover page - resending a letter you requested.		
TEDS - Application withdrawal		
TEDS - Confirmation that your application was received and in process		
TEDS - Involuntary Term notices - 058a and 058c and many other terms with different variables		
TEDS - Failed electronic letter delivery		
TEDS - Approval - CoverKids, HealthyTNBabies (CHIP approval)		
TEDS - Approval - Medicare Savings Program		
TEDS - Term notice due to reverification - you re- applied and are denied		
Renewal - MAGI Initial letter with renewal packet		
Renewal - Reprint of Initial letter with renewal packet		
Redetermination - Approved for TennCare Medicaid		
Redetermination - Approved for TennCare Medicaid - during the 90 day reconsideration period - produced by interChange		
Redetermination - Approved for TennCare Standard		
Redetermination - Approved for CoverKids - effective date to be included		
Redetermination - Approved for CoverKids - renewal received after coverage ended		
Redetermination - Cover page which proceeds all TN 406 letters with barcode that tracks back to the recipient that was mailed the letter		
Renewal - need more information - Household Income		
Renewal - need more information - Citizenship or Immigration status and Household Income		



Notices	Reports	Interfaces
Renewal - need more information - Citizenship or Immigration status		
Renewal - need more information - proof that you live in Tennessee		
Renewal - need more information - SSN or proof that you have applied for SSN		
Renewal - need more information - do you have or can get insurance through your job or a family members job		
Renewal - your renewal packet was received, but not signed		
Renewal - need more information - do you have insurance for pregnancy care, maternity benefits (CHIP only)		
Renewal - packet received but you were not selected for renewal, or not currently enrolled		
Renewal - Denied, 20 day term - you applied and we have determined you no longer qualify for TC, Medicaid Savings Program (MSP), CK		
Renewal - Denied, 20 day term - renewal packet received, we requested more information and you did not give us what we requested for TC, MSP, CK		
Renewal - Denied during 90 day reconsideration period - you do not qualify for TC, MSP or CK		
Renewal - Denied during 90 day reconsideration period - renewal packet received, we requested more information, you did not give us what we requested for TC, MSP and CK		
Renewal - 20 day term - No response to renewal mailing		
Renewal - Packet returned after due date - you must reapply		
CoverKids - Approval with effective dates		
CoverKids - Approval for maternity only for mother and child with effective date		
CoverKids - Information is needed - SSN		
CoverKids - Information is needed - proof your other coverage does not cover pregnancy care (maternity benefits)		
CoverKids - Information is needed - date of birth		
CoverKids - Information is needed - sign the application		
CoverKids - Information is needed - provide proof you live in Tennessee		
CoverKids - Information is needed - provide proof you have a verified American Indian/Alaska Native status		
CoverKids - Denial - new application		
CoverKids - Termination - coverage will end in 20 days		
CoverKids - Voluntary Termination - request received to end CK coverage		
CoverKids - Coverage was ended due to receipt of Date Of Death		
CoverKids - Reminder - inform CK of baby's name and DOB		
CoverKids - You informed us of a demographic change		
CoverKids - Application was received - you already have TennCare, on this effective date		



Notices	Reports	Interfaces
CoverKids - Please apply for CK on Health Insurance Marketplace		
CoverKids- After denial, given second chance to complete renewal packet		
DENIAL - insufficient evidence of citizenship.		
DENIAL - insufficient evidence of citizenship.		
Additional Information needed to prove citizenship.		
Additional Information needed to prove citizenship.		

Item #	Proposal Section, Page, Paragraph	Description	Rationale	Potential Impact
3	C.3.1.3, Table C.3-5 and following paragraph, page C-48	Our overall work effort is based on our proposed scope of Release 2, including the number of notices, reports and interfaces.	Provides a clear definition of the release 2 scope	Impacts project schedule and work effort

The table below illustrates the key modules that will be implemented in Release 2.

Key Modules	Key Functionalities	NextGen Components
Worker Portal	<ul style="list-style-type: none"> • Non-MAGI eligibility determination • Change Reporting, Redetermination • Appeals • Operations and Maintenance 	<ul style="list-style-type: none"> • IBM Data Stage • Java on IBM Application Server • Oracle Database • HP Exstream • IBM WebSphere Operational Decision Management (ODM) for BRMS
Mobile	<ul style="list-style-type: none"> • Create Account • Check Benefits • Document Upload • View Notices • View/Manage Reminders • Report Changes • Locate local offices 	<ul style="list-style-type: none"> • iOS and Android supported native app
Member Portal	<ul style="list-style-type: none"> • Apply for Benefits • Real Time or Near Real-time Eligibility Determination • My Account • Notices 	<ul style="list-style-type: none"> • IBM DataStage • Java on IBM Application Server • Oracle Database • IBM Integration Bus • IBM WebSphere Operational Decision Management (ODM) for BRMS
Partner Portal	<ul style="list-style-type: none"> • Partner/Provider Access to submit applications 	<ul style="list-style-type: none"> • IBM DataStage • Java on IBM Application Server • Oracle Database • IBM Integration Bus • IBM DataCap image capture integration with State Existing FileNet • IBM WebSphere Operational Decision Management (ODM) for BRMS
Organizational Initiatives	Continue the following: <ul style="list-style-type: none"> • Legal & Policy Workgroup • Rules and Policy Management 	



Key Modules	Key Functionalities	NextGen Components
	<ul style="list-style-type: none"> Marketing and Communications Training 	
Enterprise Content Management	OCR capabilities	<ul style="list-style-type: none"> IBM DataCap image capture integration with State Existing FileNet
Back Office	Continue the following: <ul style="list-style-type: none"> Operational Reports Executive Level Reports Business Process Management Business Intelligence and Data Analytics Integration with Contact Center 	<ul style="list-style-type: none"> Deloitte ClearLight IBM Integration Bus

The table below summarizes the number of notices, reports, and interfaces that are included in Release 2. We understand that additional notices, reports, and interfaces may be identified as part of requirements. The scope allows an increase of up to 10% per category with no impact to the project schedule or financials, if identified during the requirements phase.

Notices	Reports	Interfaces
109	13	17

Release 2: Notices, Reports and Interfaces

Notices	Reports	Interfaces
Presumptive appr (pregnant) given 45 days with MCO change option	BCC Treatment Plan Report	SDX - Interface
ME Redetermination appr with copays; no MCO change option	Low Income Subsidy (LIS) Report	BENDEX - Interface
New ME, rollover from Mcaid, Uninsured, income btwn 100-199% FPL appr, with copays; no MCO change option	LTSS Recipients With Trusts or Annuities Report	SVES - Interface
New ME, rollover from Mcaid, appr no copays; no MCO change option	DCS Foster Care and Adoption Assistance Redetermination Report	SOLQ - Interface
New ME, rollover from Mcaid, income is above 200%, appr with copays; no MCO change	Foster Care and Adoption Assistance Pending Applications Report	DOC - Interface
SSI Approval - Child is now SSI - new add	Program Enrollment Forecast	SAVE - Interface
TEDS - Emergency - Alien approval for medical care	Appeal Activity Report	Asset Verification - Interface
Denials produced by TEAMS that may convert to TEDS	Appeals Summary Report	State Dept of labor (UI and Quarterly) - Interface
TEDS - TCM CHOICES - Patient Liability - increase - decrease	KPI Reports	Work Number - Interface
TEDS – Qualified Medicare Beneficiary, Specified Low Income Medicare Beneficiaries, Qualified Disabled Working Individual, QI-1 denial	Appeal Docket	Residency Verification with state source - Interface
TEDS – Third Party Liability (TPL) verification	Appeal Dashboard	Low Income Subsidy(LIS)
TEDS - Spend Down requesting information	Appeal Case Status Report	Employment and Income Verification Systems (TALX)
TEDS -Spend Down needing additional information	Appeals Summary Report	DIFSLA
TEDS -Batch presumptive pregnant		Supplementary Medical Insurance (SMI) Buy- In(s)
TEDS -Desktop at DOH presumptive pregnant		Public Assistance Reporting Information System (PARIS)



Notices	Reports	Interfaces
. . . DS - Batch – Breast and Cervical Cancer (BCC) presumptive		TISS Report (TDFBA)
TEDS - Desktop - at DOH - BCC presumptive		Electronic Verification of Vital Events (EVVE)
TEDS - Approval for BCC and Pregnant		
Renewal - Long Term Services and Supports (LTSS) Initial letter with renewal packet		
Renewal - Reprint of LTSS letter with NM renewal packet		
Redetermination - Approval for Medicare Savings Program (MSP)		
Renewal - need more information - household income, including spousal support alimony payments (for Transitional/Extended)		
Renewal - need more information - tell us about health problems, check for Medical Eligibility "ME" to apply for STD		
Renewal - need more information - missing ME packet information		
A hearing has been scheduled - phone - date and time.		
Delay appeal - general delay in processing of application.		
Delay appeal - additional information needed to prove citizenship - 10 days to respond.		
CLOSING delay appeal - no response to request for proof of citizenship/immigrant eligibility - temporary TennCare APPROVED for 90 days.		
Delay appeal - additional information needed to prove income and citizenship - 10 days to respond.		
Delay appeal - additional information needed to prove income - 10 days to respond.		
Delay appeal - additional information needed - haven't received info from the Marketplace - complete attached TennCare Delayed Application - 10 days to respond.		
Delay appeal - additional information needed to prove applied for TennCare - 10 days to respond.		
CLOSING delay appeal - a TennCare application decision has been made - will get a letter about that decision.		
CLOSING delay appeal - TennCare application has been approved.		
CLOSING delay appeal - a TennCare application decision has been made - will get a letter with further information.		
CLOSING delay appeal - no delay detected - TennCare application sent to Eligibility.		
Delay appeal CLOSED - no proof of date of application.		
DENIAL/Delay appeal CLOSED/OPTIONAL CoverKids APPROVAL - no proof of citizenship.		
DENIAL/Delay appeal CLOSED - failure to provide additional information.		
DENIAL/Delay appeal CLOSED/OPTIONAL CoverKids APPROVAL - income too high.		
DENIAL/Delay appeal CLOSED - not in a group that Medicaid covers.		



Notices	Reports	Interfaces
DENIAL/Delay appeal CLOSED - non Tennessee resident OR receiving Medicaid in another state.		
DENIAL/Delay appeal CLOSED/OPTIONAL CoverKids APPROVAL - not a US Citizen or eligible immigrant.		
CLOSING Delay appeal - already have TennCare.		
Delay appeal is still CLOSED - appeal closed after no response to request for additional information - facts received after appeal closed - appeal still closed - facts sent to Eligibility staff - will get a letter about their decision.		
CLOSING request for hearing - no response to Request for Proof of Application.		
Delay appeal - general delay in processing of application.		
FORM "Request for Application Processing Delay Hearing" Cannot process request for hearing - no response to "Request for Application Processing Delay Hearing."		
CLOSING Delay appeal - TennCare application was already denied (can appeal denial).		
NOH - phone - delay appeal - appellant application for TennCare outstanding for 45 days or longer.		
Final Order.		
Order of Remand.		
Denial appeal is CLOSED - already have TennCare.		
FORM "...Authorization of Individual Representative."		
FORM "...Authorization of Representative Organization."		
CLOSING delay appeal - already have TennCare.		
Initial Order rendered by an Administrative Judge.		
See important information from TennCare on the next page of this letter.		
NOH - phone - application denial - appellant does not meet financial requirements for any open category of TennCare.		
NOH - in person - application denial - appellant does not meet requirements for any group eligible for requested benefits.		
NOH - phone - application denial - appellant does not meet requirements for any group eligible for requested benefits.		
NOH - phone - application denial - appellant does not meet requirements for any open TennCare Medicaid category.		
NOH - phone - application denial - appellant does not fall within any open category of TennCare eligibility.		
DENIAL - not in a group that Medicaid covers.		
DENIAL - did not send the information needed to decide if you qualify.		
DENIAL - recorded monthly income is over the income limit for Medicaid.		
Appeal will be processed by DHS.		
Send proof of the date applied for TennCare.		
NOH - phone - effective date - appellant requests an effective date of ____.		



Notices	Reports	Interfaces
APPROVED requested effective date - hearing no longer necessary.		
APPROVED requested effective date - hearing no longer necessary.		
NOH - in person - effective date appeal - appellant requests an effective date of ____.		
NOH - phone - effective date appeal - appellant requests an effective date of ____.		
Before we set up a hearing we need to know more about household income. Initial Order		
Hearing DENIED - did not tell us about a mistake that might qualify you for Medicaid.		
Receipt of Motion		
Receipt of Petition		
After appeal/hearing/Judge's Order - additional information needed - 10 days to respond.		
After appeal/hearing/Judge's Order - no response to request for additional information needed - temporary TennCare APPROVED for 90 days.		
After appeal/hearing/Judge's Order - additional information needed about household income and citizenship/immigration status - 10 days to respond.		
After appeal/hearing/Judge's Order - additional information needed about household income - 10 days to respond.		
After appeal/hearing/Judge's Order - additional information needed about Tennessee state residency - 10 days to respond.		
After appeal/hearing/Judge's Order - please RESUBMIT additional information sent - 10 days to respond.		
After appeal/hearing/Judge's Order - additional information needed of SSN - 10 days to respond.		
After appeal/hearing/Judge's Order - application DENIED - appeal CLOSED - no response to request for additional information.		
After appeal/hearing/Judge's Order - application DENIED - appeal CLOSED/OPTIONAL CoverKids APPROVAL - income too high.		
After appeal/hearing/Judge's Order - application DENIED - appeal CLOSED - not in a group that Medicaid covers.		
After appeal/hearing/Judge's Order - application DENIED - appeal CLOSED - not TN resident OR receiving Medicaid from another state.		
After appeal/hearing/Judge's Order - application DENIED - appeal CLOSED/OPTIONAL CoverKids APPROVAL - non citizen or eligible immigrant.		
After appeal/hearing/Judge's Order - already have TennCare.		
After appeal/hearing - here is the Judge's Order...		
Initial Order for continuance of appeal		
Order for withdrawal of appeal		
Order		
Notice of receipt of petition for APPEAL of Initial Order.		



Notices	Reports	Interfaces
Reconsideration Order		
Order of Remand.		
Delay appeal CLOSED - SSI recipient - SSA decides start date.		
We agree with your appeal - call if you still want a hearing.		
NOH - phone - termination.		
CLOSING denial appeal - too late to appeal/after 40 day appeal period.		
CLOSING effective date appeal - too late to appeal/after 40 day appeal period.		
Hearing APPROVED - phone.		
Hearing DENIED - appeal CLOSED - didn't give facts needed.		
Hearing DENIED - did not tell us about a mistake that might qualify you for Medicaid.		
Hearing DENIED - did not tell us about a mistake that might qualify you for Medicaid.		
Withdrawal form received - CLOSING appeal.		
FORM "How to end your TennCare appeal."		
Withdrawal form received - CLOSING appeal.		

Item #	Proposal Section, Page, Paragraph	Description	Rationale	Potential Impact
5	C.11 - C.11.1.1, Table C.11-2, page C-162 - C-165	Our work effort for data conversion is based on our conversion approach for automated and manual conversion, including the expected legacy data sources, the responsibilities of the State and the requirements for converting previously scanned documents/images.	Provides a clear definition of the scope of data conversion and the associated responsibilities	Impacts project schedule work effort



Item #	Proposal Section, Page, Paragraph	Description	Rationale	Potential Impact
6	Appendix 5 - Technical Roles and Responsibilities	Our work effort for our technology solution team activities are based on the clearly defined roles and responsibilities between the State (and/or State's contractors) and the Deloitte Technology Solution Team.	Provides a clear line of responsibilities for the scope of technology activities	Impacts project work effort for Deloitte technology solution team

See Technical Roles and Responsibilities below.



Below identifies those responsibilities associated with the technical activities that are assigned to the State and Deloitte.

Activity	Activity Description	Development		Test		Training		Disaster Recovery		Production		
		Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State	
Hardware	Server	Hardware Setup of Servers (Rack, power, server)	Provide the server specification structure as part of the System Architecture Deliverable	Build, install and setup rack, power couplings and servers for TEDS solution Perform required hardware maintenance and servicing of physical and virtual machines to support TEDS solution	Provide the server specification structure as part of the System Architecture Deliverable	Build, install and setup rack, power couplings and servers for TEDS solution Perform required hardware maintenance and servicing of physical and virtual machines to support TEDS solution	Provide the server specification structure as part of the System Architecture Deliverable	Build, install and setup rack, power couplings and servers for TEDS solution Perform required hardware maintenance and servicing of physical and virtual machines to support TEDS solution	Provide the server specification structure as part of the System Architecture Deliverable	Build, install and setup rack, power couplings and servers for TEDS solution Perform required hardware maintenance and servicing of physical and virtual machines to support TEDS solution	Provide the server specification structure as part of the System Architecture Deliverable	Build, install and setup rack, power couplings and servers for TEDS solution Perform required hardware maintenance and servicing of physical and virtual machines to support TEDS solution
	Storage Device	Hardware Setup of SAN and NAS devices Setup	Provide the storage specification as part of the System Architecture Deliverable	Decide storage device size Configure storage device for development servers	Provide the storage specification as part of the System Architecture Deliverable	Decide storage device size Configure storage device for test servers	Provide the storage specification as part of the System Architecture Deliverable	Decide storage device size Configure storage device for training servers	Provide the storage specification as part of the System Architecture Deliverable	Decide storage device size Configure and provision storage pools including SAN and NAS	Provide the storage specification as part of the System Architecture Deliverable	Decide storage device size Configure and provision storage pools including SAN and NAS
		DR Setup for High Availability (dual channel connection) Backup Storage (configure pools)	None	None	None	None	None	None	Provide the storage specification as part of the System Architecture Deliverable	Configure storage devices for Disaster Recovery including dual channel connections	Provide the storage specification as part of the System Architecture Deliverable	Configure storage devices for Disaster Recovery including dual channel connections
		DR Integration to Backup Device. Setup Archived data storage	None	None	None	None	None	None	None	Setup and configure Backup Device integration for storage hardware	None	Setup and configure Backup Device integration for storage hardware
		Backup Device	Tape Library setup Backup Pool definition (on disk)	None	Configure backup setup for Dev environment	None	Configure backup setup for Test environment	None	Configure backup setup for Training environment	None	Identify data to be archived for TEDS Setup, integrate and maintain Tape	None



nt	Activity	Activity Description	Development		Test		Training		Disaster Recovery		Production	
			Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State
										Libraries for all storage Setup and configure data archival for TEDS solution data on NAS/SAN and Tape Libraries		archival for TEDS solution data on NAS/SAN and Tape Libraries
	Desktop	Desktop hardware standardization and requirements	Provide desktop hardware for Deloitte staff	Provision, install and maintain all hardware and software for State end-user Desktops.	Provide desktop hardware for Deloitte staff	Provision, install and maintain all hardware and software for State end-user Desktops.	Provide desktop hardware for training users during initial Go-Live.	Provide and install state specific hardware for training users. Provision, install and maintain all hardware and software for State end-user Desktops after Go-Live.	None	None	None	Provision, install and maintain all hardware and software for State end-user Desktops.
		Setup of Desktop application distribution (software, desktop software package configuration)	Install development software packages and enable remote capabilities for Deloitte development staff	None	Install software packages and enable remote capabilities for Deloitte testing staff	Install and maintain software for State testing staff Provide installation instructions and support for installing State software on Deloitte testing machines	None	Install and maintain software for training users	None	None	None	Install and maintain State desktop software for production users
	File Share	Setting up of servers for the secure storage and sharing of data files	Provide server names where File Share is needed for TEDS servers	Provision, install and maintain secure storage file share servers for data storage	Provide server names where File Share is needed for TEDS servers	Provision, install and maintain secure storage file share servers for data storage	Provide server names where File Share is needed for TEDS servers	Provision, install and maintain secure storage file share servers for data storage	Provide server names where File Share is needed for TEDS servers	Provision, install and maintain secure storage file share servers for data storage	Provide server names where File Share is needed for TEDS servers	Provision, install and maintain secure storage file share servers for data storage



nt	Activity	Activity Description	Development		Test		Training		Disaster Recovery		Production	
			Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State
	Printing Devices	Printing Architecture Printers supported Printer definition (in application and Windows) Printer Installation	Print output management functions along with the necessary infrastructure including management of the print services partner	Provide printing specifications such as but not limited to margins, logos, fonts, and non-standard paper. Provide printers for State offices.	Print output management functions along with the necessary infrastructure including management of the print services partner	Provide printing specifications such as but not limited to margins, logos, fonts, and non-standard paper. Provide printers for State offices.	Print output management functions along with the necessary infrastructure including management of the print services partner	Provide printing specifications such as but not limited to margins, logos, fonts, and non-standard paper. Provide printers for State offices.	Print output management functions along with the necessary infrastructure including management of the print services partner	Provide printing specifications such as but not limited to margins, logos, fonts, and non-standard paper. Provide printers for State offices.	Print output management functions along with the necessary infrastructure including management of the print services partner	Provide printing specifications such as but not limited to margins, logos, fonts, and non-standard paper. Provide printers for State offices.
	Browser	Browser compatibility for Desktop browsers	Install the required browsers on Deloitte development machines.	Install the required browser on State testing machines.	Install the required browser on Deloitte testing machines.	Install the required browser on State testing machines.	Install the required browser on training machines as part of initial Go-Live training.	Install the required browser on training machines after initial Go-Live for State staff.	None	Support the required desktop browser	None	Support the required desktop browser
		Browser compatibility for mobile browsers	Install mobile simulator on Deloitte development machines	Configure State solution to be support the required mobile browsers	Install mobile simulator on Deloitte testing machines	Install mobile simulator on State testing machines	None	Install mobile simulator on training machines	None	Support the required mobile browser	None	Support the required mobile browser
	Access Devices	Devices used for accessing facilities	Provide and manage onsite and remote project facilities access for Deloitte staff	Provide and manage onsite and remote project facilities access for State staff	Provide and manage onsite and remote project facilities access for Deloitte staff	Provide and manage onsite and remote project facilities access for State staff	None	Provide and manage onsite project facilities access for State staff	None	Provide and manage data center facilities access for State staff	None	Provide and manage data center facilities access for State staff
Infrastructure Software	Server Operating System	Installation and configuration of the server operating systems	None	Install and configure server operating systems	None	Install and configure server operating systems	None	Install and configure server operating systems	None	Install and configure server operating systems	None	Install and configure server operating systems
				Install and configure patches and upgrades for server operating systems		Install and configure patches and upgrades for server operating systems		Install and configure patches and upgrades for server operating systems		Install and configure patches and upgrades for server operating systems		Install and configure patches and upgrades for server operating systems
	System Monitoring	Installation and setup of System monitoring	Install system monitoring software	None	Install system monitoring software	None	Install system monitoring software	None	None	Generate DR site Health check reports	Install system monitoring software	None



nt	Activity	Activity Description	Development		Test		Training		Disaster Recovery		Production	
			Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State
		software Installation of system monitoring Agents on servers Installation and configuration of Network monitoring software	including agents and scripts for monitoring the application Install and configure server and network monitoring tools Install database monitoring tools Configure application specific alerts	including agents and scripts for monitoring the application Install and configure server and network monitoring tools Install database monitoring tools Configure application specific alerts	including agents and scripts for monitoring the application Install and configure server and network monitoring tools Install database monitoring tools Configure application specific alerts	including agents and scripts for monitoring the application Install and configure server and network monitoring tools Install database monitoring tools Configure application specific alerts	including agents and scripts for monitoring the application Install and configure server and network monitoring tools Install database monitoring tools Configure application specific alerts	including agents and scripts for monitoring the application Install and configure server and network monitoring tools Install database monitoring tools Configure application specific alerts	including monitoring of DR equipment readiness.	including agents and scripts for monitoring the application Install and configure server and network monitoring tools Install database monitoring tools Configure application specific alerts Generate scheduled operational reports		
	Database	Installation of the database Identification of storage requirements (RAID, size)	Install and setup database instances and storage Install and setup database instances and storage Provide database connections and support for developers to use the data sources Create database maintenance plan and schedule Perform scheduled maintenance of database	Install physical database hardware. Install and setup database instances and storage Install and setup database instances and storage Provide database connections and support for developers to use the data sources Create database maintenance plan and schedule Perform scheduled maintenance of database	Submit requests for database access. Install and setup database instances and storage Install and setup database instances and storage Provide database connections and support for developers to use the data sources Create database maintenance plan and schedule Perform scheduled maintenance of database	Submit requests for database access. Install and setup database instances and storage Install and setup database instances and storage Provide database connections and support for developers to use the data sources Create database maintenance plan and schedule Perform scheduled maintenance of database	Submit requests for database access. Install and setup database instances and storage Install and setup database instances and storage Provide database connections and support for developers to use the data sources Create database maintenance plan and schedule Perform scheduled maintenance of database	Submit requests for database access. Install and setup database instances and storage Install and setup database instances and storage Provide database connections and support for developers to use the data sources Create database maintenance plan and schedule Perform scheduled maintenance of database	Submit requests for database access. Install and setup database instances and storage including RAID configurations Create database maintenance plan and schedule Perform scheduled maintenance of database instances including backup, restore and restarts	Submit requests for database access. Install and setup database instances and storage including RAID configurations Create database maintenance plan and schedule Perform scheduled maintenance of database instances including backup, restore and restarts	Install and setup database instances and storage including RAID configurations Create database maintenance plan and schedule Perform scheduled maintenance of database instances including backup, restore and restarts	Install and setup database instances and storage including RAID configurations Create database maintenance plan and schedule Perform scheduled maintenance of database instances including backup, restore and restarts



nt	Activity	Activity Description	Development		Test		Training		Disaster Recovery		Production	
			Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State
			instances including backup, restore and restarts		instances including backup, restore and restarts		instances including backup, restore and restarts					
	Data replication	Setup of data replication between storage devices	None	None	None	None	None	None	Identify servers and databases for TEDS	Install and configure data replication devices	Identify servers and databases for TEDS	Install and configure data replication devices
	Backup Software	Installation and configuration of Backup software	None	Install and configure Backup Software Create and maintain data backup plan	None	Install and configure Backup Software Create and maintain data backup plan	None	Install and configure Backup Software Create and maintain data backup plan	None	Install and configure Backup Software Create and maintain data backup plan	None	Install and configure Backup Software Create and maintain data backup plan
	Terminal Server	Installation and configuration of Terminal server application to support business applications	None	Install and configure terminal server application	None	Install and configure terminal server application	None	Install and configure terminal server application	None	Install and configure terminal server application	None	Install and configure terminal server application
	Secure Token	Installation and configuration of security software to support external access	Configure and install Secure Token infrastructure on Deloitte machines	Configure and install Secure Token infrastructure Install and configure on State workstations	Configure and install Secure Token infrastructure on Deloitte machines	Configure and install Secure Token infrastructure Install and configure on State workstations	None	Configure and install Secure Token infrastructure Install and configure on State workstations	None	Configure and install Secure Token infrastructure Install and configure on State workstations	None	Configure and install Secure Token infrastructure Install and configure on State workstations
	Application, Middleware and COTS Platform Products in the approved TEDS BOM excluding State existing systems	Installation of the application components including clustering	Install and configure on top of the provisioned VM. Setup clustering and application specific nodes and configuration policies.	Provide OS level support and network support including reverse proxy and firewall setup.	Install and configure on top of the provisioned VM. Setup clustering and application specific nodes and configuration policies.	Provide OS level support and network support including reverse proxy and firewall setup.	Install and configure on top of the provisioned VM. Setup clustering and application specific nodes and configuration policies.	Provide OS level support and network support including reverse proxy and firewall setup.	Provide installation guidance, deployment guidance and troubleshooting support.	Install and configure on top of the provisioned VM. Setup clustering and application specific nodes and configuration policies. Provide OS level support and network support including reverse proxy	Provide installation guidance, deployment and troubleshooting support.	Install and configure on top of the provisioned VM. Setup clustering and application specific nodes and configuration policies. Provide OS level support and network support including reverse proxy



nt	Activity	Activity Description	Development		Test		Training		Disaster Recovery		Production	
			Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State
										and firewall setup.		and firewall setup.
Network	VPN	Installation and configuration of a VPN device to allow external access via the Internet (Hardware, Network Connection)	Install and configure VPN clients for Deloitte workstations to access development environment servers	Install and configure VPN clients for State workstations to access development environment servers	Install and configure VPN clients for Deloitte workstations to access testing environment servers	Install and configure VPN clients for State workstations to access testing environment servers	None	Install and configure VPN clients for training workstations to access training environment servers	None	Install and configure VPN clients for State workstations to access Disaster Recovery servers	None	Install and configure VPN clients for State workstations to access Production servers
	Firewall	Installation, configuration and maintenance of Firewalls	Provide requests for servers that need to communicate. Review and confirm firewall rules entered by the state are maintained in a central document.	Install, configure and maintain firewall devices for the State. Run scans for violation of key network policies on TEDS servers. Perform port scanning of TEDS solution servers and provide monthly operational report to capture port violation and dispositions of valid port usage.	Provide requests for servers that need to communicate. Review and confirm firewall rules entered by the state are maintained in a central document.	Install, configure and maintain firewall devices for the State. Run scans for violation of key network policies on TEDS servers. Perform port scanning of TEDS solution servers and provide monthly operational report to capture port violation and dispositions of valid port usage.	Provide requests for servers that need to communicate. Review and confirm firewall rules entered by the state are maintained in a central document.	Install, configure and maintain firewall devices for the State. Run scans for violation of key network policies on TEDS servers. Perform port scanning of TEDS solution servers and provide monthly operational report to capture port violation and dispositions of valid port usage.	Review and confirm firewall rules entered by the state are maintained in a central document.	Install, configure and maintain firewall devices for the State. Run scans for violation of key network policies on TEDS servers. Perform port scanning of TEDS solution servers and provide monthly operational report to capture port violation and dispositions of valid port usage. Provide requests for servers that need to communicate.	Review and confirm firewall rules entered by the state are maintained in a central document.	Install, configure and maintain firewall devices for the State. Run scans for violation of key network policies on TEDS servers. Perform port scanning of TEDS solution servers and provide monthly operational report to capture port violation and dispositions of valid port usage. Provide requests for servers that need to communicate.
	DNS	Installation and configuration of DNS servers	None	Install and configure DNS servers	None	Install and configure DNS servers	None	Install and configure DNS servers	None	Install and configure DNS servers	None	Install and configure DNS servers
	Network Monitoring	Installation of Network monitoring agents	Review monitoring alerts configuration	Install and configure network monitoring agents	Review monitoring alerts configuration	Install and configure network monitoring agents	Review monitoring alerts configuration	Install and configure network monitoring agents	Review monitoring alerts configuration	Install and configure network monitoring agents	Review monitoring alerts configuration	Install and configure network monitoring agents



nt	Activity	Activity Description	Development		Test		Training		Disaster Recovery		Production	
			Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State
				Document both agent monitored and agentless monitored network segments		Document both agent monitored and agentless monitored network segments		Document both agent monitored and agentless monitored network segments		Document both agent monitored and agentless monitored network segments		Document both agent monitored and agentless monitored network segments
				Monitor inbound and outbound network traffic within State data center for high network bandwidth consumption alerts as well as network contention alerts		Monitor inbound and outbound network traffic within State data center for high bandwidth alerts as well as network contention		Monitor inbound and outbound network traffic within State data center for high bandwidth alerts as well as network contention		Monitor inbound and outbound network traffic within State data center for high bandwidth alerts as well as network contention		Monitor inbound and outbound network traffic within State data center for high bandwidth alerts as well as network contention
				Work directly with the State to sort out any network utilization and bandwidth issues including connectivity from State offices to State datacenter		Work directly with the State to sort out any network utilization and bandwidth issues including connectivity from State offices to State datacenter		Work directly with the State to sort out any network utilization and bandwidth issues including connectivity from State offices to State datacenter		Work directly with the State to sort out any network utilization and bandwidth issues including connectivity from State offices to State datacenter		Work directly with the State to sort out any network utilization and bandwidth issues including connectivity from State offices to State datacenter
	Network administration	Perform changes to network appliances including management of controls that allow filtering of traffic and activities	Review monthly networking reports	Administer all network components within the State network and any connections to interfacing systems	Review monthly networking reports	Administer all network components within the State network and any connections to interfacing systems	Review monthly networking reports	Administer all network components within the State network and any connections to interfacing systems	Review monthly networking reports	Administer all network components within the State network and any connections to interfacing systems	Review monthly networking reports	Administer all network components within the State network and any connections to interfacing systems
				Provide monthly networking reports		Provide monthly networking reports		Provide monthly networking reports		Provide monthly networking reports		Provide monthly networking reports
Technical Procedures	Daily VM Monitoring	Development of procedures to	Subscribe to alerts for CPU,	Provide VM level monitoring	Subscribe to alerts for CPU,	Provide VM level monitoring	Subscribe to alerts for CPU,	Provide VM level monitoring	Subscribe to alerts for CPU,	Provide VM level monitoring	Subscribe to alerts for CPU,	Provide VM level monitoring



nt	Activity	Activity Description	Development		Test		Training		Disaster Recovery		Production	
			Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State
		support daily tasks	Memory and Disk.	support for servers Provide monitoring support for database instances	Memory and Disk.	support for servers Provide monitoring support for database instances	Memory and Disk.	support for servers Provide monitoring support for database instances	Memory and Disk.	support for servers Provide monitoring support for database instances	Memory and Disk.	support for servers Provide monitoring support for database instances
Change Control	Development of procedures to support changes to the Technical environment	Define JIRA structure for traceability from requirements to design, test cases and development item tracking Use JIRA to manage defects and track changes for Deloitte developed code. Develop and execute scripts to migrate application and database packages Manage and Host JIRA server Provide server administration support for builds and deployments. Present requests to TARB and CCB for System patch and upgrades.	Review traceability structure and provide support for JIRA hosting at the OS level. Participate actively in TARB and CCB. Use JIRA to manage defects and track changes for Deloitte developed code. Develop and execute scripts to migrate application and database packages Manage and Host JIRA server Provide server administration support for builds and deployments. Present requests to TARB and CCB for System patch and upgrades.	Define JIRA structure for traceability from requirements to design, test cases and development item tracking Use JIRA to manage defects and track changes for Deloitte developed code. Develop and execute scripts to migrate application and database packages Manage and Host JIRA server Provide server administration support for builds and deployments. Present requests to TARB and CCB for System patch and upgrades.	Review traceability structure and provide support for JIRA hosting at the OS level. Use JIRA to manage defects and track changes for Deloitte developed code. Develop and execute scripts to migrate application and database packages Manage and Host JIRA server Provide server administration support for builds and deployments. Present requests to TARB and CCB for System patch and upgrades.	Define JIRA structure for traceability from requirements to design, test cases and development item tracking Use JIRA to manage defects and track changes for Deloitte developed code. Develop and execute scripts to migrate application and database packages Manage and Host JIRA server Provide server administration support for builds and deployments. Present requests to TARB and CCB for System patch and upgrades.	Review traceability structure and provide support for JIRA hosting at the OS level. Use JIRA to manage defects and track changes for Deloitte developed code. Develop and execute scripts to migrate application and database packages Manage and Host JIRA server Provide server administration support for builds and deployments. Present requests to TARB and CCB for System patch and upgrades.	Define JIRA structure for traceability from requirements to design, test cases and development item tracking Use JIRA to manage defects and track changes for Deloitte developed code. Develop and execute scripts to migrate application and database packages Manage and Host JIRA server Provide server administration support for builds and deployments. Present requests to TARB and CCB for System patch and upgrades.	Review traceability structure and provide support for JIRA hosting at the OS level. Use JIRA to manage defects and track changes for Deloitte developed code. Develop and execute scripts to migrate application and database packages Manage and Host JIRA server Provide server administration support for builds and deployments. Present requests to TARB and CCB for System patch and upgrades.	Define JIRA structure for traceability from requirements to design, test cases and development item tracking Use JIRA to manage defects and track changes for Deloitte developed code. Develop and execute scripts to migrate application and database packages Manage and Host JIRA server Provide server administration support for builds and deployments. Present requests to TARB and CCB for System patch and upgrades.	Review traceability structure and provide support for JIRA hosting at the OS level. Use JIRA to manage defects and track changes for Deloitte developed code. Develop and execute scripts to migrate application and database packages Manage and Host JIRA server Provide server administration support for builds and deployments. Present requests to TARB and CCB for System patch and upgrades.	
	Batch Job Schedule	Development of procedures for Batch Job Scheduling	Help define batch job schedule for jobs developed by	Provide access to the central scheduling tool to create	Help define batch job schedule for jobs developed by	Provide and create the batch job schedule and	Help define batch job schedule for jobs developed by	Provide and create the batch job schedule and	Help define batch job schedule for jobs developed by	Provide and create the batch job schedule and	Help define batch job schedule for jobs developed by	Provide and Create the batch job schedule and



nt	Activity	Activity Description	Development		Test		Training		Disaster Recovery		Production	
			Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State
			Deloitte such as ETL jobs. Provide and create the batch job schedule and batch job dependencies	schedules in CA Workload automation.	Deloitte such as ETL jobs	batch job dependencies	Deloitte such as ETL jobs	batch job dependencies	Deloitte such as ETL jobs	batch job dependencies	Deloitte such as ETL jobs	batch job dependencies
			Install and configure batch jobs and containers to execute jobs using the scheduler			Install and configure batch jobs and containers to execute jobs using the scheduler				Install and configure batch jobs and containers to execute jobs using the scheduler		Install and configure batch jobs and containers to execute jobs using the scheduler
			Monitor batch schedules			Monitor batch schedules				Monitor batch schedules		Monitor batch schedules
	Backup Procedures	Development of procedures for the backup of Operating Systems, Databases and business applications	Review State backup procedures	Update existing State backup procedures to include TEDS solution servers	Review State backup procedures	Update existing State backup procedures to include TEDS solution servers	Review State backup procedures	Update existing State backup procedures to include TEDS solution servers	Review State backup procedures	Update existing State backup procedures to include TEDS solution servers	Review State backup procedures	Update existing State backup procedures to include TEDS solution servers
	Restore Procedures	Development of Recovery procedures Development of procedures for the offsite storage and recovery of tapes	Review State developed recovery procedures	Develop recovery procedures	Review State developed recovery procedures	Develop recovery procedures	Review State developed recovery procedures	Develop recovery procedures	Review State developed recovery procedures	Develop recovery procedures	Review State developed recovery procedures	Develop recovery procedures
High Availability	Clustering	Design, Installation and Setup of clusters to support application and database failover	Design, Installation and Setup of clusters to support application and database failover	Review configuration	Design, Installation and Setup of clusters to support application and database failover	Review configuration	Design, Installation and Setup of clusters to support application and database failover	Review configuration	Review configuration	Install and configure application based clustering	Review configuration	Install and configure application based clustering
										Install and configure COTS to support load balancing and/or failover configuration		Install and configure COTS to support load balancing and/or failover configuration
										Setup database for		



nt	Activity	Activity Description	Development		Test		Training		Disaster Recovery		Production	
			Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State
										failover and clustering Configure Network appliances to support COTS load balancing and/or failover		Setup database clustering Configure Network appliances to support COTS load balancing and/or failover
	Disk Mirroring	Identification of data replication requirements	Provide inputs on disk space and type of data used by the application	Install and configure Disk Mirroring regions for NAS and SAN devices	Provide inputs on disk space and type of data used by the application	Install and configure Disk Mirroring regions for NAS and SAN devices	Provide inputs on disk space and type of data used by the application	Install and configure Disk Mirroring regions for NAS and SAN devices	Provide inputs on disk space and type of data used by the application	Install and configure Disk Mirroring regions for NAS and SAN devices	Provide inputs on disk space and type of data used by the application	Install and configure Disk Mirroring regions for NAS and SAN devices
Disaster Recovery	Disaster Recovery Procedures	Develop DR procedures							Develop DR plans around TEDS application/platform level components. Support DR testing of application components and database.	Develop DR procedures servers, network and storage including hypervisor and backup/restore procedures. Schedule, plan and execute DR tests.	Develop DR plans around TEDS application/platform level components. Support DR testing of application components and database.	Develop DR procedures servers, network and storage including hypervisor and backup/restore procedures. Schedule, plan and execute DR tests.
	Backup and Recovery	Backup and recovery procedures that need to be used for restart of TEDS solution in the DR site							Develop backup and recovery procedures for database restore and application files, configuration at the platform level. Review backup and recovery procedures for database restore Review VM based State recovery procedures of application,	Develop VM based recovery procedures of application, middleware and COTS servers Review backup and recovery procedures for database restore Review VM based State recovery procedures of application,	Develop backup and recovery procedures for database restore and application files, configuration at the platform level. Review backup and recovery procedures for database restore Review VM based State recovery procedures of application,	Develop VM based recovery procedures of application, middleware and COTS servers



nt	Activity	Activity Description	Development		Test		Training		Disaster Recovery		Production	
			Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State
									middleware and COTS servers		middleware and COTS servers	
Identity and Access Management: Oracle IAM suite of Products (OIM, OAM, OAAM, and OID)	Integration of the State's existing Oracle IAM suite of products with the TEDS solution and install Oracle IAM products that are not present e.g. OAAM if it is not present.	Configure and develop custom code where required for components of the Oracle IAM suite of products to allow integration with the Worker Portal, Self-Service Portal, and TEDS solutions.	Configure and develop custom code where required for the components of the Oracle IAM suite of products to allow integration with the Worker Portal, Self-Service Portal, and TEDS solutions.	Perform hardware maintenance and servicing of physical and virtual machines to support the Oracle IAM suite of products that will be integrated with the TEDS solution.	Configure and develop custom code where required for the components of the Oracle IAM suite of products to integrate with the Worker Portal, Self-Service Portal, and TEDS solutions.	Perform hardware maintenance and servicing of physical and virtual machines to support the Oracle IAM suite of products that will be integrated with the TEDS solution.	Configure and develop custom code where required for the components of the Oracle IAM suite of products to allow integration with the Worker Portal, Self-Service Portal, and TEDS solutions.	Perform hardware maintenance and servicing of physical and virtual machines to support the Oracle IAM suite of products that will be integrated with the TEDS solution.	Provide guidance to the State to Configure and migrate custom code for the components of the Oracle IAM suite of products to allow integration with the Worker Portal, Self-Service Portal, and TEDS solutions.	Perform hardware maintenance and servicing of physical and virtual machines to support the Oracle IAM suite of products that will be integrated with the TEDS solution.	Provide guidance to the State to configure and migrate custom code for the components of the Oracle IAM suite of products to allow integration with the Worker Portal, Self-Service Portal, and TEDS solutions.	Perform hardware maintenance and servicing of physical and virtual machines to support the Oracle IAM suite of products that will be integrated with the TEDS solution.
Security Monitoring: IBM QRadar SIEM	Security event monitoring integration	Integrate TEDS solution log sources with the State's existing instance of QRadar.	Integrate TEDS application, database and web services gateway log sources with the State's existing instance of QRadar. This includes the development of reports, firewall, alerts, and dashboards to address auditing and accountability requirements outlined in the MARS-E 2.0 standard Audit and Accountability (AU) control family to address federal and state	Integrate TEDS infrastructure log sources with the State's existing instance of QRadar. This includes the system, Active Directory, firewall, IDS/IPS, and other network devices that process sensitive data for the TEDS solution. The State will configure and develop reports, alerts, and dashboards to address federal and state	Integrate TEDS application, database and web services gateway log sources with the State's existing instance of QRadar. This includes the system, Active Directory, firewall, IDS/IPS, and other network devices that process sensitive data for the TEDS solution. The State will configure and develop reports, alerts, and dashboards to address federal and state	Integrate TEDS infrastructure log sources with the State's existing instance of QRadar. This includes the system, Active Directory, firewall, IDS/IPS, and other network devices that process sensitive data for the TEDS solution. The State will configure and develop reports, alerts, and dashboards to address federal and state	Integrate TEDS application, database and web services gateway log sources with the State's existing instance of QRadar. This includes the system, Active Directory, firewall, IDS/IPS, and other network devices that process sensitive data for the TEDS solution. The State will configure and develop reports, alerts, and dashboards to address auditing and accountability	Integrate TEDS infrastructure log sources with the State's existing instance of QRadar. This includes the system, Active Directory, firewall, IDS/IPS, and other network devices that process sensitive data for the TEDS solution. The State will configure and develop reports, alerts, and dashboards to address auditing and accountability	Deloitte to provide guidance to the State to integrate the TEDS application, database and web services gateway log sources with the State's existing instance of QRadar. This includes the development of reports, alerts, and dashboards to address auditing and accountability requirements outlined in the MARS-E 2.0 standard Audit and Accountability (AU) control	Integrate TEDS infrastructure log sources with the State's existing instance of QRadar. This includes the system, Active Directory, firewall, IDS/IPS, and other network devices that process sensitive data for the TEDS solution. The State will configure and develop reports, alerts, and dashboards to address auditing and accountability	Deloitte to provide guidance to the State to integrate the TEDS application, database and web services gateway log sources with the State's existing instance of QRadar. This includes the development of reports, alerts, and dashboards to address auditing and accountability requirements outlined in the MARS-E 2.0 standard Audit and Accountability (AU) control	Integrate TEDS infrastructure log sources with the State's existing instance of QRadar. This includes the system, Active Directory, firewall, IDS/IPS, and other network devices that process sensitive data for the TEDS solution. The State will configure and develop reports, alerts, and dashboards to address auditing and accountability



nt	Activity	Activity Description	Development		Test		Training		Disaster Recovery		Production		
			Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State	
			standards for continuous monitoring. Deloitte will provide guidance to the State on what reports, alerts, and dashboards need to be configured/developed for infrastructure security monitoring to address AU requirements.	requirements outlined in the MARS-E 2.0 standard Audit and Accountability (AU) control family to address federal and state standards for continuous monitoring.	standards for continuous monitoring. Deloitte will provide guidance to the State on what reports, alerts, and dashboards need to be configured/developed for infrastructure security monitoring to address AU requirements.	requirements outlined in the MARS-E 2.0 standard Audit and Accountability (AU) control family to address federal and state standards for continuous monitoring.	standards for continuous monitoring. Deloitte will provide guidance to the State on what reports, alerts, and dashboards need to be configured/developed for infrastructure security monitoring to address AU requirements.	requirements outlined in the MARS-E 2.0 standard Audit and Accountability (AU) control family to address federal and state standards for continuous monitoring. Deloitte will also provide guidance to the State on what reports, alerts, and dashboards need to be configured/developed for infrastructure security monitoring.	family to address federal and state standards for continuous monitoring. Deloitte will also provide guidance to the State on what reports, alerts, and dashboards need to be configured/developed for infrastructure security reports, alerts, and dashboards for TEDS application, database and web services gateway security events, and report anomalies per the approved Auditing, Logging, and Monitoring Plan that will be included as part of the overall Operations Documentation for the TEDS solution.	requirements outlined in the MARS-E 2.0 standard Audit and Accountability (AU) control family to address federal and state standards for continuous monitoring. The State will monitor reports, alerts, and dashboards for TEDS infrastructure events, and report anomalies per the approved Auditing, Logging, and Monitoring Plan that will be included as part of the overall Operations Documentation for the TEDS solution.	family to address federal and state standards for continuous monitoring. Deloitte will also provide guidance to the State on what reports, alerts, and dashboards need to be configured/developed for infrastructure security monitoring.	requirements outlined in the MARS-E 2.0 standard Audit and Accountability (AU) control family to address federal and state standards for continuous monitoring. The State will monitor reports, alerts, and dashboards for TEDS infrastructure events, and report anomalies per the approved Auditing, Logging, and Monitoring Plan that will be included as part of the overall Operations Documentation for the TEDS solution.	
	Security Monitoring: Oracle Audit Vault	Database security monitoring integration	Integrate TEDS database log sources with the State's existing instance of	Integrate TEDS database log sources with the State's existing	Integrate TEDS database log sources with the State's existing	Support the Deloitte team in implementing Oracle Audit Vault through	Integrate TEDS database log sources with the State's existing	Support the Deloitte team in implementing Oracle Audit Vault through	Integrate TEDS database log sources with the State's existing	Provide guidance to the State to integrate TEDS database log	Integrate TEDS database log sources with the State's existing	Provide guidance to the State to integrate TEDS database log	Integrate TEDS database log sources with the State's existing



nt	Activity	Activity Description	Development		Test		Training		Disaster Recovery		Production	
			Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State
		Oracle Audit Vault	instance of Oracle Audit Vault. This includes the development of reports, alerts, and dashboards to address auditing and accountability requirements outlined in the MARS-E 2.0 standard Audit and Accountability (AU) control family to address federal and state standards for continuous monitoring.	performance of the required infrastructure activities.	instance of Oracle Audit Vault. This includes the development of reports, alerts, and dashboards to address auditing and accountability requirements outlined in the MARS-E 2.0 standard Audit and Accountability (AU) control family to address federal and state standards for continuous monitoring.	performance of the required infrastructure activities.	instance of Oracle Audit Vault. This includes the development of reports, alerts, and dashboards to address auditing and accountability requirements outlined in the MARS-E 2.0 standard Audit and Accountability (AU) control family to address federal and state standards for continuous monitoring.	performance of the required infrastructure activities.	sources with the State's existing instance of Oracle Audit Vault. This includes the development of reports, alerts, and dashboards to address auditing and accountability requirements outlined in the MARS-E 2.0 standard Audit and Accountability (AU) control family to address federal and state standards for continuous monitoring.	instance of Oracle Audit Vault with guidance from the Deloitte team. This includes the development of reports, alerts, and dashboards to address auditing and accountability requirements outlined in the MARS-E 2.0 standard Audit and Accountability (AU) control family to address federal and state standards for continuous monitoring.	sources with the State's existing instance of Oracle Audit Vault. This includes the development of reports, alerts, and dashboards to address auditing and accountability requirements outlined in the MARS-E 2.0 standard Audit and Accountability (AU) control family to address federal and state standards for continuous monitoring.	instance of Oracle Audit Vault with guidance from the Deloitte team. This includes the development of reports, alerts, and dashboards to address auditing and accountability requirements outlined in the MARS-E 2.0 standard Audit and Accountability (AU) control family to address federal and state standards for continuous monitoring.



Activity	Activity Description	Development		Test		Training		Disaster Recovery		Production		
		Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State	
Security: IBM DataPower integration	Configure IBM DataPower to provide authentication, authorization, and encryption of externally facing web services in the TEDS solution.	Configure the State's existing instance of IBM DataPower to provide authentication, authorization, and encryption of externally facing web services in the TEDS solution.	Support the Deloitte team in the implementation of IBM DataPower through performance of the required infrastructure activities. e.g. configuring firewall rules, establishing connectivity, etc.	Configure the State's existing instance of IBM DataPower to provide authentication, authorization, and encryption of externally facing web services in the TEDS solution.	Support the Deloitte team in the implementation of IBM DataPower through performance of the required infrastructure activities. e.g. configuring firewall rules, establishing connectivity, etc.	Configure the State's existing instance of IBM DataPower to provide authentication, authorization, and encryption of externally facing web services in the TEDS solution.	Support the Deloitte Team in the implementation of IBM DataPower through performance of the required infrastructure activities. e.g. configuring firewall rules, establishing connectivity, etc.	Provide guidance to the State to configure the State's existing instance of IBM DataPower to provide authentication, authorization, and encryption of externally facing web services in the TEDS solution.	Configure the State's existing instance of IBM DataPower to provide authentication, authorization, and encryption of externally facing web services in the TEDS solution.	Provide guidance to the State to configure the State's existing instance of IBM DataPower to provide authentication, authorization, and encryption of externally facing web services in the TEDS solution.	Configure the State's existing instance of IBM DataPower to provide authentication, authorization, and encryption of externally facing web services in the TEDS solution.	
Data Protection: Oracle TDE, Microsoft BitLocker, LINUX Unified Key Setup (LUKS), TLS encryption	Implement Oracle TDE for encryption of sensitive data at rest in TEDS Oracle databases.	Implement Oracle TDE for encryption of sensitive data at rest in TEDS Oracle databases.	State to <u>determine appropriate data at rest to</u> encrypt for databases, files and server image backups that have PHI/PII using FIPS 140-2 compliance algorithms.	Implement Oracle TDE for encryption of sensitive data at rest in TEDS Oracle databases.	State to <u>determine appropriate data at rest to</u> encrypt for databases, files and server image backups that have PHI/PII using FIPS 140-2 compliance algorithms.	Implement Oracle TDE for encryption of sensitive data at rest in TEDS Oracle databases.	State to <u>determine appropriate data at rest to</u> encrypt for databases, files and server image backups that have PHI/PII using FIPS 140-2 compliance algorithms.	Deloitte to provide guidance to the State to implement Oracle TDE for encryption of sensitive data at rest in TEDS Oracle databases in the DR environment.	Implement Oracle TDE for encryption of sensitive data at rest in TEDS Oracle databases in the DR environment.	Deloitte to provide guidance to the State to implement Oracle TDE for encryption of sensitive data at rest in TEDS Oracle databases in the DR environment.	Implement Oracle TDE for encryption of sensitive data at rest in TEDS Oracle databases in the DR environment.	
	Implement Microsoft BitLocker	Provide guidance to the State to deploy Microsoft BitLocker for Windows system disk encryption to address FIPS 140-2 encryption standards.	Provide guidance to the State to deploy Microsoft BitLocker for Windows system disk encryption to address FIPS 140-2 encryption standards.	Deploy Microsoft BitLocker for Windows system disk encryption to address FIPS 140-2 encryption standards.	Provide guidance to the State to deploy Microsoft BitLocker for Windows system disk encryption to address FIPS 140-2 encryption standards.	Deploy Microsoft BitLocker for Windows system disk encryption to address FIPS 140-2 encryption standards.	Provide guidance to the State to deploy Microsoft BitLocker for Windows system disk encryption to address FIPS 140-2 encryption standards.	Deploy Microsoft BitLocker for Windows system disk encryption to address FIPS 140-2 encryption standards.	Provide guidance to the State to deploy Microsoft BitLocker for Windows system disk encryption to address FIPS 140-2 encryption standards.	Deploy Microsoft BitLocker for Windows system disk encryption to address FIPS 140-2 encryption standards.	Provide guidance to the State to deploy Microsoft BitLocker for Windows system disk encryption to address FIPS 140-2 encryption standards.	Deploy Microsoft BitLocker for Windows system disk encryption to address FIPS 140-2 encryption standards.
	Implement LINUX Unified Key Setup (LUKS)	Implement LINUX Unified Key Setup (LUKS) for LINUX system disk encryption	Provide guidance to the State to deploy LINUX Unified Key Setup (LUKS)	Deploy LINUX Unified Key Setup (LUKS) for LINUX system disk encryption to	Provide guidance to the State to deploy LINUX Unified Key Setup (LUKS)	Deploy LINUX Unified Key Setup (LUKS) for LINUX system disk encryption to	Provide guidance to the State to deploy LINUX Unified Key Setup (LUKS)	Deploy LINUX Unified Key Setup (LUKS) for LINUX system disk encryption to	Provide guidance to the State to deploy LINUX Unified Key Setup (LUKS)	Deploy LINUX Unified Key Setup (LUKS) for LINUX system disk encryption to	Provide guidance to the State to deploy LINUX Unified Key Setup (LUKS)	Deploy LINUX Unified Key Setup (LUKS) for LINUX system disk encryption to



nt	Activity	Activity Description	Development		Test		Training		Disaster Recovery		Production	
			Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State
		to address FIPS 140-2 encryption standards.	for LINUX system disk encryption to address FIPS 140-2 encryption standards.	address FIPS 140-2 encryption standards.	for LINUX system disk encryption to address FIPS 140-2 encryption standards.	address FIPS 140-2 encryption standards.	for LINUX system disk encryption to address FIPS 140-2 encryption standards.	address FIPS 140-2 encryption standards.	for LINUX system disk encryption to address FIPS 140-2 encryption standards.	address FIPS 140-2 encryption standards.	for LINUX system disk encryption to address FIPS 140-2 encryption standards.	address FIPS 140-2 encryption standards.
	Data In Transit	TLS 1.2 encryption to address FIPS 140-2 encryption standards for encrypting sensitive data in transit	Deloitte will configure TEDS application components and Oracle IAM suite components to communicate using TLS 1.2 encryption.	The State will configure infrastructure related components in the TEDS solution to communicate using TLS 1.2 encryption, including SFTP utilities for the transfer of files containing sensitive information.	Deloitte will configure TEDS application components and Oracle IAM suite components to communicate using TLS 1.2 encryption.	The State will configure infrastructure related components in the TEDS solution to communicate using TLS 1.2 encryption, including SFTP utilities for the transfer of files containing sensitive information. The State will also generate certificate requests for obtaining 3 rd -party Certificate Authority (CA) certificates from the State's preferred CA vendor.	Deloitte will configure TEDS application components and Oracle IAM suite components to communicate using TLS 1.2 encryption.	The State will configure infrastructure related components in the TEDS solution to communicate using TLS 1.2 encryption, including SFTP utilities for the transfer of files containing sensitive information.	Provide guidance to the State to configure infrastructure related components in the TEDS solution to communicate using TLS 1.2 encryption, including SFTP utilities for the transfer of files containing sensitive information. The State will also generate certificate requests for obtaining 3 rd -party Certificate Authority (CA) certificates from the State's preferred CA vendor.	The State will configure infrastructure related components in the TEDS solution to communicate using TLS 1.2 encryption, including SFTP utilities for the transfer of files containing sensitive information. The State will also generate certificate requests for obtaining 3 rd -party Certificate Authority (CA) certificates from the State's preferred CA vendor.	Provide guidance to the State to configure infrastructure related components in the TEDS solution to communicate using TLS 1.2 encryption, including SFTP utilities for the transfer of files containing sensitive information.	The State will configure infrastructure related components in the TEDS solution to communicate using TLS 1.2 encryption, including SFTP utilities for the transfer of files containing sensitive information. The State will also generate certificate requests for obtaining 3 rd -party Certificate Authority (CA) certificates from the State's preferred CA vendor.
	Vulnerability Management: HP Fortify IBM AppScan Tenable Nessus Symantec Anti-Virus Clam Anti-Virus for LINUX	Secure code review using HP Fortify	Perform secure code review of custom code in the TEDS solution using a combination of HP Fortify and performing manual analysis.	Deloitte will perform two iterations of secure code review using the State's instance of HP Fortify (one in development and one in test) per release and issue one	Work with Deloitte to determine mutually agreeable acceptance criteria for secure code review testing and remediation. The State will review the	Deloitte will perform two iterations of secure code review using the State's instance of HP Fortify (one in development and one in test) per release and issue one	Work with Deloitte to determine mutually agreeable acceptance criteria for secure code review testing and remediation. The State will review the	Not applicable (N/A) as code that addresses the mutually agreeable acceptance criteria for secure code review testing will be migrated into	Not applicable (N/A) as code that addresses the mutually agreeable acceptance criteria for secure code review testing will be migrated into	Not applicable (N/A) as code that addresses the mutually agreeable acceptance criteria for secure code review testing will be migrated into	Not applicable (N/A) as code that addresses the mutually agreeable acceptance criteria for secure code review testing will be migrated into	Not applicable (N/A) as code that addresses the mutually agreeable acceptance criteria for secure code review testing will be migrated into



nt	Activity	Activity Description	Development		Test		Training		Disaster Recovery		Production	
			Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State
			report deliverable per release during the DDI phase of the project. Monthly code reviews will be performed during the M&O phase of the project including issuance of a report deliverable once per release during the M&O phase of the project.	scan results report and collaborate with Deloitte to determine the remediation plan for each release.	report deliverable per Release during the DDI phase of the project. Monthly code reviews will be performed during the M&O phase of the project including issuance of a report deliverable once per release during the M&O phase of the project.	scan results report and collaborate with Deloitte to determine the remediation plan for each release.	the training environment	the training environment	the DR environment	the DR environment	the production environment	the production environment
	Application vulnerability testing using IBM AppScan	Perform application vulnerability testing of the TEDS Worker Portal and Self-Service components using a combination of IBM AppScan and performing manual analysis.	Deloitte will perform two iterations of application vulnerability testing using IBM AppScan and manual analysis (one in development and one in test) per release and issue one report deliverable per release during the DDI phase of the project. Monthly application vulnerability scanning will be performed during the M&O phase of the project including issuance of a report	Work with Deloitte to determine mutually agreeable acceptance criteria for application vulnerability testing and remediation. The State will review the scan results report and collaborate with Deloitte to determine the remediation plan for each release.	Deloitte will perform two iterations of application vulnerability testing using IBM AppScan and manual analysis (one in Development and one in Test) per release and issue one report deliverable per Release during the DDI phase of the project. Monthly application vulnerability scanning will be performed during the M&O phase of the project including issuance of a	Work with Deloitte to determine mutually agreeable acceptance criteria for application vulnerability testing and remediation. The State will review the scan results report and collaborate with Deloitte to determine the remediation plan for each release.	Not applicable (N/A) as code that addresses the mutually agreeable acceptance criteria for application vulnerability testing will be migrated into the training environment	Not applicable (N/A) as code that addresses the mutually agreeable acceptance criteria for application vulnerability testing will be migrated into the training environment	Not applicable (N/A) as code that addresses the mutually agreeable acceptance criteria for application vulnerability testing will be migrated into the DR environment	Not applicable (N/A) as code that addresses the mutually agreeable acceptance criteria for application vulnerability testing will be migrated into the DR environment	Not applicable (N/A) as code that addresses the mutually agreeable acceptance criteria for application vulnerability testing will be migrated into the production environment	Not applicable (N/A) as code that addresses the mutually agreeable acceptance criteria for application vulnerability testing will be migrated into the production environment



Item	Activity	Activity Description	Development		Test		Training		Disaster Recovery		Production	
			Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State
			operating systems.		operating systems.		operating systems.		operating systems.		operating systems.	
	Configuration of Symantec Anti-Virus for file uploads	Configure Symantec Anti-Virus for scanning file uploads to the TEDS solution.	Deloitte will configure Symantec Anti-Virus for scanning file uploads to the TEDS solution.	Support the Deloitte team with performance of the required infrastructure activities for the configuration of the State's existing instance of Symantec Anti-Virus to perform scanning of file uploads to the TEDS solution.	Deloitte will configure Symantec Anti-Virus for scanning file uploads to the TEDS solution.	Support the Deloitte team with performance of the required infrastructure activities for the configuration of the State's existing instance of Symantec Anti-Virus to perform scanning of file uploads to the TEDS solution.	Deloitte will implement Symantec Anti-Virus for scanning file uploads to the TEDS solution.	Support the Deloitte team with performance of the required infrastructure activities for the configuration of the State's existing instance of Symantec Anti-Virus to perform scanning of file uploads to the TEDS solution.	Deloitte will implement Symantec Anti-Virus for scanning file uploads to the TEDS solution.	Support the Deloitte team with performance of the required infrastructure activities for the configuration of the State's existing instance of Symantec Anti-Virus to perform scanning of file uploads to the TEDS solution.	Deloitte will implement Symantec Anti-Virus for scanning file uploads to the TEDS solution.	Support the Deloitte team with performance of the required infrastructure activities for the configuration of the State's existing instance of Symantec Anti-Virus to perform scanning of file uploads to the TEDS solution.
Infrastructure Security IDS/IPS	IDS/IPS configuration	Configure the IDS/IPS solution that is integrated with the TEDS solution.	Provide guidance to the State on what events should be logged for the IDS/IPS solution in order for the QRadar SIEM solution to consume those log events.	Configure the IDS/IPS solution that is integrated with the TEDS solution to address applicable federal and state regulatory requirements for boundary protection.	Provide guidance to the State on what events should be logged for the IDS/IPS solution in order for the QRadar SIEM solution to consume those log events.	Configure the IDS/IPS solution that is integrated with the TEDS solution to address applicable federal and state regulatory requirements for boundary protection.	Provide guidance to the State on what events should be logged for the IDS/IPS solution in order for the QRadar SIEM solution to consume those log events.	Configure the IDS/IPS solution that is integrated with the TEDS solution to address applicable federal and state regulatory requirements for boundary protection.	Provide guidance to the State on what events should be logged for the IDS/IPS solution in order for the QRadar SIEM solution to consume those log events.	Configure the IDS/IPS solution that is integrated with the TEDS solution to address applicable federal and state regulatory requirements for boundary protection.	Provide guidance to the State on what events should be logged for the IDS/IPS solution in order for the QRadar SIEM solution to consume those log events.	Configure the IDS/IPS solution that is integrated with the TEDS solution to address applicable federal and state regulatory requirements for boundary protection.
Compliance and Information Security Program Management: Lockpath Keylight compliance and information security program management solution	Implement the Lockpath Keylight compliance and information security program management solution	Implementation of the Lockpath Keylight compliance and information security program management solution with the TEDS solution.	Deloitte will provide guidance to the State to address regulatory requirements as it pertains to the implementation of the State's existing instance of the Lockpath Keylight	Implement the State's existing instance of the Lockpath Keylight compliance and information security program management solution to facilitate addressing CMS, IRS and	Deloitte will provide guidance to the State to address regulatory requirements as it pertains to the implementation of the State's existing instance of the Lockpath Keylight	Implement the State's existing instance of the Lockpath Keylight compliance and information security program management solution to facilitate addressing CMS, IRS and	Deloitte will provide guidance to the State to address regulatory requirements as it pertains to the implementation of the State's existing instance of the Lockpath Keylight	Implement the State's existing instance of the Lockpath Keylight compliance and information security program management solution to facilitate addressing CMS, IRS and	Deloitte will provide guidance to the State to address regulatory requirements as it pertains to the implementation of the State's existing instance of the Lockpath Keylight	Implement the State's existing instance of the Lockpath Keylight compliance and information security program management solution to facilitate addressing CMS, IRS and	Deloitte will provide guidance to the State to address regulatory requirements as it pertains to the implementation of the State's existing instance of the Lockpath Keylight	Implement the State's existing instance of the Lockpath Keylight compliance and information security program management solution to facilitate addressing CMS, IRS and



nt	Activity	Activity Description	Development		Test		Training		Disaster Recovery		Production	
			Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State	Deloitte	State
			compliance and information security program management solution.	SSA continuous monitoring and incident reporting directives.	compliance and information security program management solution.	SSA continuous monitoring and incident reporting directives.	compliance and information security program management solution.	SSA continuous monitoring and incident reporting directives.	compliance and information security program management solution.	SSA continuous monitoring and incident reporting directives.	compliance and information security program management solution.	SSA continuous monitoring and incident reporting directives.



Item #	Proposal Section, Page, Paragraph	Description	Rationale	Potential Impact
7	C.18, J.1, Appendix 3	Our overall work effort and project schedule is based on our assessment of the RFQ functional requirements and our proposed approach to fulfilling these requirements with our NextGen solution as described in C.18 and the associated J.1 and Appendix 3.	Provides a clear definition of how the requirement will be realized	Impacts project schedule and work effort

See Functional and Non-Functional requirements and approach below.

Item #	Proposal Section, Page, Paragraph	Description	Rationale	Potential Impact
8	RFQ page 83, A.11.10 - Table 1: Table of Deliverables	Our overall schedule is based on our proposed approach to deliverable review and acceptance and our redline comments to Section A.11 of the pro forma contract.	Manages the scope during deliverable review and maintain project schedules	Maintains predictability for deliverable approval and avoids impact to project milestones.

Item #	Proposal Section, Page, Paragraph	Description	Rationale	Potential Impact
10	Appendix 6 - List of Hardware, Software and Licenses	Our proposed TEDS solution will leverage the State's existing IAM solution, including existing infrastructure and licenses.	To reuse existing State assets, where possible	Allows the State to reuse existing assets while helping to increase synergies and gain efficiencies in procurement and setup. Impacts project schedule and work effort.
11	Appendix 6 - List of Hardware, Software and Licenses	Our proposed TEDS solution will leverage the State's existing FileNet solution, including existing infrastructure and licenses.	To reuse existing State assets, where possible	Allows the State to reuse existing assets while helping to increase synergies and gain efficiencies in procurement and setup. Impacts project schedule and work effort.
12	Appendix 6 - List of Hardware, Software and Licenses	Our proposed TEDS solution will leverage the State's existing Nessus solution, including existing infrastructure and licenses.	To reuse existing State assets, where possible	Allows the State to reuse existing assets while helping to increase synergies and gain efficiencies in procurement and setup. Impacts project schedule and work effort.
13	Appendix 6 - List of Hardware, Software and Licenses	Our proposed TEDS solution will leverage the State's existing Sitescope solution, including existing infrastructure and licenses.	To reuse existing State assets, where possible	Allows the State to reuse existing assets while helping to increase synergies and gain efficiencies in procurement and setup. Impacts project



Item #	Proposal Section, Page, Paragraph	Description	Rationale	Potential Impact
				schedule and work effort.
14	Appendix 6 - List of Hardware, Software and Licenses	Our proposed TEDS solution will leverage the State's existing Qradar solution, including existing infrastructure and licenses.	To reuse existing State assets, where possible	Allows the State to reuse existing assets while helping to increase synergies and gain efficiencies in procurement and setup. Impacts project schedule and work effort.
15	Appendix 6 - List of Hardware, Software and Licenses	Our proposed TEDS solution will leverage the State's existing Master Client Index.	To reuse existing State assets, where possible	Allows the State to reuse existing assets while helping to increase synergies and gain efficiencies in procurement and setup. Impacts project schedule and work effort.
16	Appendix 6 - List of Hardware, Software and Licenses	Our proposed TEDS solution will leverage the State's existing Advanced Intrusion Detection Environment File Integrity Checker solution, including existing infrastructure and licenses.	To reuse existing State assets, where possible	Allows the State to reuse existing assets while helping to increase synergies and gain efficiencies in procurement and setup. Impacts project schedule and work effort.
17	Appendix 6 - List of Hardware, Software and Licenses	Our proposed TEDS solution will leverage the State's existing QAS Address Verification solution, including existing infrastructure and licenses.	To reuse existing State assets, where possible	Allows the State to reuse existing assets while helping to increase synergies and gain efficiencies in procurement and setup. Impacts project schedule and work effort.
18	Appendix 6 - List of Hardware, Software and Licenses	Our proposed TEDS solution will leverage the State's existing Lockpath Keylight – Compliance and Information Security Program Management solution, including existing infrastructure and licenses.	To reuse existing State assets, where possible	Allows the State to reuse existing assets while helping to increase synergies and gain efficiencies in procurement and setup. Impacts project schedule and work effort.
19	Appendix 6 - List of Hardware, Software and Licenses	Our proposed TEDS solution will leverage the State's existing Active Directory for Worker Portal.	To reuse existing State assets, where possible	Allows the State to reuse existing assets while helping to increase synergies and gain efficiencies in procurement and setup. Impacts project schedule and work effort.



Item #	Proposal Section, Page, Paragraph	Description	Rationale	Potential Impact
20	J.2 - NFR-SC-009	For our proposed TEDS solution, the Worker Portal solution is sized to support 2000 concurrent users.	Capacity planning for server and environment sizing	Allows for environments and servers to be sized upfront, limiting the potential for additional or larger servers and environments being resized, and resulting in additional hardware and software licenses and further installation activities during the DDI phase of the project. Impacts project schedule and work effort.
22	Appendix 6 - List of Hardware, Software and Licenses	We assume that the State's existing IAM solution includes Multi-Factor Authentication.	To reuse existing State assets, where possible	Allows for reuse and reduced effort for setup and configuration. Impacts project schedule and work effort.
23	Appendix 6 - List of Hardware, Software and Licenses	Our proposed TEDS solution will leverage the State's existing back-up solution, including existing infrastructure and licenses.	To reuse existing State assets, where possible	Allows the State to reuse existing assets while helping to increase synergies and gain efficiencies in procurement and setup. Impacts project schedule and work effort.
24	RFQ page 52, A.9 Solution Infrastructure	We assume that the State's datacenter has the capacity (floor space, bandwidth, power, etc.) to host the proposed hardware.	Our proposed TEDS solution will be hosted in existing State facilities, and will require space and connections to existing State infrastructure.	Project schedule could be impacted if the data center facilities had to be expanded.
25	Appendix 6 - List of Hardware, Software and Licenses	Our proposed TEDS solution will leverage the State's existing Symantec Endpoint Protection solution, including existing infrastructure and licenses.	To reuse existing State assets, where possible	Allows the State to reuse existing assets while helping to increase synergies and gain efficiencies in procurement and setup. Impacts project schedule and work effort.
26	Appendix 6 - List of Hardware, Software and Licenses	Our proposed TEDS solution will leverage the State's existing IBM Integration Bus and WSRR, including existing infrastructure and licenses.	To reuse existing State assets, where possible	Allows the State to reuse existing assets while helping to increase synergies and gain efficiencies in procurement and setup. Impacts project schedule and work effort.
27	C.12 Operations and Maintenance, page C-178 - C-222	The Contractor shall perform Operations and Maintenance (O&M) utilizing the staff hours as specified in Tab 3 O&M Effort of the Effort Workbook. O&M work activity shall be planned and prioritized with the State utilizing the specified staffing. The SOP will further detail the planning and prioritization processes. Highest priority will be given to correction of High or Critical Defects, and as necessary to comply	To align workbook structure and industry practice	Benefit to the State is increased control and predictable results



Item #	Proposal Section, Page, Paragraph	Description	Rationale	Potential Impact
		with any SLAs applicable to Medium or Low defects. Adjustments to O&M staffing shall be done, including through the CM process, using the rates and categories as specified in Attachment D.1.		

Cost Assumptions

Item #	Proposal Section, Page, Paragraph	Description	Rationale	Potential Impact
4		The State has chosen a report solution that is on premise. This will be included in a future bill of materials (BOM).		
2	RFQ A.20.10.1.9 Page 129	Deloitte has incorporated into our cost proposal the a facility that enables the training of at least 100 individuals simultaneously across 5 training rooms (at least 20 per room)	The facility enables at least 100 individuals to meet the State's need to train the number of users at one time.	If the number of individuals that need to be trained simultaneously increases, additional space will need to be procured.
3	RFQ page 114, A.17.17 - Print Output Management	In the print/mail industry items are typically priced and charged by item printed and mailed. Given the structure of the RFQ didn't allow for this method, we have provided a number of assumptions which is the basis for our pricing. We strongly encourage the State to consider a more traditional pricing methodology for this portion of the contract. Please see the following assumptions related to printing/mailing		
4	RFQ page 114, A.17.17 - Print Output Management	We assume the annual volume for year 1 of O&M processing (following release 1) of notice/letters generated from TEDS to be 3 million packages to be printed mailed, comprised of the following: MAIL PKG 1: #10 3 sheets per package resulting in 2,550,000 packages MAIL PKG 2: 6x9 7 sheets per package resulting in 330,000 packages MAIL PKG 3: 9X12 25 sheets per package resulting in 120,000 packages REMIT ENVELOPE required In 45% of Packages resulting in 1,364,412 remit envelopes	Calculated based on Medicaid mailing volumes from 'similar' implementations.	Allows for predictability of Fixed Fee Costing of printing. Changes from this volume will result in a increase/decrease in cost



Item #	Proposal Section, Page, Paragraph	Description	Rationale	Potential Impact
5	RFQ page 114, A.17.17 - Print Output Management	We assume the annual volume for year 2 of O&M processing (following release 1 & release 2) of notice/letters generated from TEDS to be 5 million packages to be printed mailed, comprised of the following:MAIL PKG 1: #10 3 sheets per package resulting in 4,250,000 packagesMAIL PKG 2: 6x9 7 sheets per package resulting in 550,000 packagesMAIL PKG 3: 9X12 25 sheets per package resulting in 200,000 packagesREMIT ENVELOPE required In 45% of Packages resulting in 2,250,000 remit envelopes	Calculated based on Medicaid mailing volumes from 'similar' implementations.	Allows for predictability of Fixed Fee Costing of printing. Changes from this volume will result in a increase/decrease in cost
6	RFQ page 114, A.17.17 - Print Output Management	We assume the annual volume for year 3 of O&M processing (following all DDI releases) of notice/letters generated from TEDS to be 5 million packages to be printed mailed, comprised of the following: MAIL PKG 1: #10 3 sheets per package resulting in 4,250,000 packages MAIL PKG 2: 6x9 7 sheets per package resulting in 550,000 packages MAIL PKG 3: 9X12 25 sheets per package resulting in 200,000 packages REMIT ENVELOPE required In 45% of Packages resulting in 2,250,000 remit envelopes	Calculated based on Medicaid mailing volumes from 'similar' implementations.	Allows for predictability of Fixed Fee Costing of printing. Changes from this volume will result in a increase/decrease in cost
7	RFQ page 114, A.17.17 - Print Output Management	We assume the annual volume for extension years of O&M processing (following all DDI releases) of notice/letters generated from TEDS to be 5 million packages to be printed mailed, comprised of the following: MAIL PKG 1: #10 3 sheets per package resulting in 4,250,000 packages MAIL PKG 2: 6x9 7 sheets per package resulting in 550,000 packages MAIL PKG 3: 9X12 25 sheets per package resulting in 200,000 packages REMIT ENVELOPE required In 45% of Packages resulting in 2,250,000 remit envelopes	Calculated based on Medicaid mailing volumes from 'similar' implementations.	Allows for predictability of Fixed Fee Costing of printing. Changes from this volume will result in a increase/decrease in cost



Item #	Proposal Section, Page, Paragraph	Description	Rationale	Potential Impact
8	RFQ page 114, A.17.17 - Print Output Management	We assume the following component specification for the print/mail packages:• Pages (sheets): 8.5x11, 24# White Bond, blank, no perforations• Envelope 1: Size #10, 24# white wove, blank, stock double window, generic tint • Envelope 2: Size 6x9, 24# white wove, blank, stock double window, generic tint • Envelope 3: Size 9x12, 24# white wove, blank, stock single window generic • Imaging: Black and White, duplex	Baseline assumptions based on experience and lack of detailed specifications in the RFQ	Allows for predictability of Fixed Fee Costing of printing. Changes from the envelope/sheet makeup will result in a increase/decrease in cost
9	RFQ A.17.17.1.12 - Print Output Management	Our pricing is based on USPS first class comingle rate at the time of proposal submission.	USPS first class postage is calculated by size and weight, per USPS guidelines which are updated and adjusted continuously. In order to fix a cost, the current rate was used	Allows for predictability of Fixed Fee Costing of mailing. Changes from the current USPS comingled rate will result in a increase/decrease in cost
10	RFQ A.17.17.1.12 - Print Output Management	Our pricing is based on postage being applied via permit or meter/commingle	USPS first class postage is calculated by size and weight, per USPS guidelines which are updated and adjusted continuously. In order to fix a cost, the current rate was used	Allows for predictability of Fixed Fee Costing of mailing. Changes from the current USPS comingled rate will result in a increase/decrease in cost
11	RFQ page 114, A.17.17 - Print Output Management	Our pricing assumings 2.5% of the packages will require return mail processing services. Based on the volume projections above, this assumes the following: - year 1 of O&M processing (following release 1) - 75,000 returned items - year 2 of O&M process (following release 2) - 125,000 returned items - year 3 of O&M process (following all DDI releases) - 125,000 returned items - extension years of O&M process (following all DDI releases) - 125,000 returned items	Baseline assumptions based on industry standards for returned mail items from USPS	Allows for predictability of Fixed Fee Costing of mailing. Changes from the volume of returned mail items will result in a increase/decrease in cost
12	RFQ page 114, A.17.17 - Print Output Management	Our pricing assumings fixed number of manual pulls & process per day - for unique notices (i.e. number of pages exceed the plan for a particular notice) Based on the volume projections above, this assumes the following:- year 1 of O&M processing (following release 1) - 15 per day require manual pulls & processing- year 2 of O&M process (following release 2) - 20 per day require manual pulls & processing- year 3 of O&M process (following all DDI releases) - 20 per day require manual pulls & processing- extension years of O&M process (following all DDI releases) - 20 per day require manual pulls & processing	Baseline assumptions based on experience performing similar projects	Allows for predictability of Fixed Fee Costing of printing. Changes from the volume of items requiring manual pulls will result in a increase/decrease in cost
13	RFQ page 114, A.17.17 - Print Output Management	Data will be sent from TEDS to the print vendor via PCL format	standard process for generating print image.	Changes in format/approach could impact the printing cost



Item #	Proposal Section, Page, Paragraph	Description	Rationale	Potential Impact
14	RFQ page 114, A.17.17 - Print Output Management	Files will adhere to a consistent set of standards to aid in barcoding, address hygiene, and layout within the envelopes	standard process for generating print image.	Changes in format/approach could impact the printing cost
15	RFQ page 114, A.17.17 - Print Output Management	Printing will be processed in Taylor Communications Charlotte, North Carolina secure fulfillment facility	Best equipped facility to complete the work	Changes in the location (except for BC/DR) could result in a increase in cost
16	RFQ A.17.17.1.10 - Print Output Management	Cost assumes the daily print files will arrive by 8am to the print facility and the maximum volume will not exceed 100,000 packages in order to retain the turnaround service level of second business day	Baseline projection for estimating maximum throughput requirements for printing	Changes in daily maximum volume will require adjustments to the service level requirements
17	RFQ A.17.17.1.5 - Print Output Management	Returned mail will be securely destroyed once processed	The cost to returning the mail to another location designated by the State is not included	Changes to this assumption will impact the print mailing cost
18	RFQ A.17.17.1.6 - Print Output Management	Address hygiene will be performed in compliance with USPS regulations	Defines a common standard for address hygiene	Changes to this assumption will impact the mailing cost
19	RFQ page 114, A.17.17 - Print Output Management	We assume that a consolidated Case Change notice will be designed to accommodate all case actions, even though the current notice list in the RFQ separates them out.	We considered best practices from other implementations where we have optimized information delivery using a consolidated case change notice to minimize cost.	Allows for predictability of Fixed Fee Costing of printing. We have provided volume based printing costs to help the State understand how cost would be impacted if print volumes increase.
20	RFQ page 114, A.17.17 - Print Output Management	We assume that only <u>one</u> case change notice will be mailed to a client on a given day based on the final authorized eligibility at the end of the day.	Case status could change during the course of the day depending on the number of times a case is authorized. Sending the final notice at the end of the day reduces print cost and confusion to the client.	Allows for predictability of Fixed Fee Costing of printing. We have provided volume based printing costs to help the State understand how cost would be impacted if print volumes increase.



Functional Requirements

This is a copy of the functional requirements from the RFP response – C.18 Functional Requirements

REQ ID	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-INT-001	The Solution shall record the source and channel via which all information is received.	Intake --- INT 1.1 --- Identifies/Selects Application Process Channel	Intake	H				Out of the Box	Release 1	Appendix 3, Section 1.1.1	Our NextGen Solution provides the ability to record the source and channel via which all information is received.
FR-INT-002	The Solution shall integrate seamlessly with software implemented within the centralized contact center.	Intake --- INT 1.1 --- Identifies/Selects Application Process Channel	Intake	H				Custom - Moderate	Release 2	Appendix 3, Section 1.1.1	Our proposed solution provides the capability for a trusted third party system such as an IVR or a CRM to integrate with our NextGen solution using pre-built web services. Our solution provides the capability to receive a request from third party system with parameters including the case number and client ID. A response is then generated from our system and sent to the third party system. The response provides a summary of the case level and member level information including the household members, status of programs, household address, household contact information and member level data including names, DOB, SSN, active programs of members, race and ethnicity



FR-INT-003	The Solution shall support interaction with internal and external users through the following channels: phone (inbound and outbound), mail, fax, email, FFM Account Transfer, Member portal, Partner portal and Worker portal.	Intake --- INT 1.1 --- Identifies/Selects Application Process Channel	Intake	H	200.030	The Application Process		Out of the Box	Release 1	Appendix 3, Section 1.1.1	<p>Our solution provides the ability to support internal and external user interaction through the following channels</p> <p>Phone Inbound - Our solution provides the ability for contact center users to enter applications received by phone using the worker portal.</p> <p>Phone Outbound - Our solution provides the ability to send text notifications to enrolled members who choose 'Text Messaging' as their preferred method of communication. Text Messages are sent to notify members about new correspondences, automatic deletion of inactive applications.</p> <p>Mail, Fax, Email - Our solution provides the ability for users to scan applications received by mail, fax, email using the IBM DataCap scanning tool. Our workflow rules engine creates a task for a user when applications are scanned.</p> <p>FFM Account Transfer - Our solution provides the capability to receive and automatically process applications received from FFM. Our solution will also send the responses back to the FFM.</p> <p>Member Portal - Our solution provides the capability for member to apply for a new application, report changes, check benefits and renew their benefits online using member portal.</p> <p>Partner Portal - Our solution provides the capability for partners to apply for new application, check benefits for members and evaluate members for presumptive and immediate eligibility online using partner portal.</p> <p>Worker Portal - Our solution provides the capability for users to evaluate members for eligibility and perform case maintenance using the worker portal.</p> <p>Our Proposed NextGen Solution supports internal user interactions through the Worker and Partner Portals. Our solution supports external user interaction using the member portal. In addition to the portals, our solution supports receiving and processing applications through the FFM Account Transfers, mail and fax. Contact center workers also have the capability to register phone applications using our worker portal.</p>
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	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-INT-004	The Solution for all portals (member, worker and partner) shall be compliant with Section 508 c of the Amendment to Rehabilitation Act of 1973 to eliminate barriers for people with disabilities in using the online portals.	Intake --- INT 1.1 --- Identifies/Selects Application Process Channel	Intake	H	200.030	The Application Process		Out of the Box	Release 1	Appendix 3, Section 1.1.2	Our proposed NextGen solution portals (worker, member, partner) are 508 compliant, and this compliance is continually re-assessed throughout the systems development lifecycle as customization or configuration updates are made to align with your requirements throughout the system.
FR-INT-005	The Solution shall allow a user to designate an authorized representative.	Intake --- INT 1.1 --- Identifies/Selects Application Process Channel	Intake	H	200.030	The Application Process		Out of the Box	Release 1	Appendix 3, Section 1.1.4	<p>Our proposed NextGen solution supports the capability to designate authorized representatives using both the member, worker and partner portals. It also captures additional data for the authorized representative as listed below</p> <ul style="list-style-type: none"> - Name of the authorized Representative - Relationship of the Authorized Representative to the member - Address of the Authorized Representative - Contact information of the Authorized Representative. <p>Our solution provides out of box capabilities for authorized representatives to submit an application for other members and also receive correspondences when a notice of action is generated.</p>



Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-INT-006 The Solution shall have an application workflow that replicates the paper application form for a new applications and/or redetermination.	Intake --- INT 1.2 --- Member Portal/Mobile Application Information	Intake	H	200.030	The Application Process		Configuration	Release 2	Appendix 3, Section 1.1.4	Our member portal provides an application workflow that replicates the paper application. Our member portal captures information in a specific order similar to the single streamlined applications for Medicaid. Our redeterminations workflow also replicates a paper application. Our proposed Member Portal solution for the TEDS can be accessed through mobile applications using web browsers. For more information on web browser support refer to Non Functional Requirement NFR-AA-022. Our proposed solution for Member Portal also features a native application for member use only that supports iOS 9 and Android 6.0 Marshmallow. The native mobile application will allow members to create user accounts, setup alerts and reminders, check benefits, report changes, and perform document upload functions.
FR-INT-007 The Solution shall provide online help functionality for the member portal.	Intake --- INT 1.2 --- Member Portal/Mobile Application Information	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.3.1	Our proposed NextGen solution provides pre-defined help text that helps accelerate the "learning curve" of the new system and promote user adoption. The help text is available at the page and field level and is available in both English and Spanish.
FR-INT-008 The Solution shall have a dynamic user-interface and workflow based on information provided by the user.	Intake --- INT 1.2 --- Member Portal/Mobile Application Information	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.4	Questions throughout the application are queued dynamically based on the program(s) selected, and as the user progresses through the application information they provide further drives the data collection questions. The questions are also dynamically queued based on gender, age and details of specific questions are only queued based on the members responding as 'yes' to the questions at the summary level.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-INT-009	The Solution shall have the ability to capture application/case information through the online member portal.	Intake --- INT 1.2 --- Member Portal/Mobile Application Information	Intake	H	200.030	The Application Process		Out of the Box	Release 2	Appendix 3, Section 1.1.4	Our member portal provides the ability to the following data as part of application/case information. 1. Address of the applicant. 2. Authorized Representative Information. 3. Person Information including the members seeking assistance. 4. Relationship Details of Household Members. 5. Earned and Unearned Income Details. 6. Resources. 7. Expenses. 7. MCO and Health coverage details. Our NextGen member portal has been approved by CMS and FNS. It also captures data in accordance with the single streamlined application.
FR-INT-010	The Solution shall have the ability to prohibit the use of special characters, as defined by the State.	Intake --- INT 1.2 --- Member Portal/Mobile Application Information	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.4	Our proposed NextGen solution utilizes error and warning messages to prevent the entry of invalid data, such as special characters. Our solution has out of box capabilities to handle the error scenarios. The restrictions present are reviewed with the state during the design sessions.
FR-INT-011	The Solution shall allow applicant/member to view application status, coverage, and notices through an online channel.	Member Portal / Mobile Application Information --- INT 1.2.1 --- Access the Member Portal and Provide Account Credentials to Submit Application / Change of Circumstance	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.3.1	The online member portal provides the users the ability to view case and application data online. This includes the status of a submitted application, current and previous benefits coverages, and notices.



Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-INT-012	The Solution shall allow applicant/member ability to submit/update application or report changes through an online channel.	Member Portal / Mobile Application Information --- INT 1.2.1 --- Access the Member Portal and Provide Account Credentials to Submit Application / Change of Circumstance	Intake	H	200.030	The Application Process	Out of the Box	Release 2	Appendix 3, Section 1.1.3.1	Our solution provides the ability for members to submit an application for Medical Assistance using the member portal. Our solution also provides the capability to report the following changes online. <ul style="list-style-type: none"> - Change of Address - Members moving into the household - Members moving out of the household including deceased. - Change in Citizenship and Immigration status - Change of circumstances with pregnancy information on the case - Change in marital status - Change in Healthcare and Other Medicaid Coverage - Change in Income and Resources - Change in Bills and Expenses - Change in Authorized Representative data - Request for Withdrawal or Closure.
FR-INT-013	The Solution shall have the ability to display State-specific content that informs the consumer/applicant regarding the confidentiality of their data.	Member Portal / Mobile Application Information --- INT 1.2.2 --- Display login	Intake	H	200.005	Confidentiality and Privacy	Out of the Box	Release 2	Appendix 3, Section 1.1.3.2	Our proposed solution provides the ability to display the data confidentiality information upon login to the member portal. Our solution currently prompts the user to read and acknowledge this information upon signing into the member portal.
FR-INT-014	The Solution shall have the ability to display privacy notifications, including Section 508 compliance notifications, as defined by the State.	Member Portal / Mobile Application Information --- INT 1.2.2 --- Display login	Intake	H			Out of the Box	Release 2	Appendix 3, Section 1.1.3.2	Our solution currently prompts the members to read and acknowledge this information upon signing into the member portal. It provides the ability to display the privacy notification and section 508 compliance notifications upon login to the member portal.
FR-INT-015	The Solution shall have the ability to notify the applicant/member if an account does not exist.	Member Portal / Mobile Application Information --- INT 1.2.2 --- Display login	Intake	H			Out of the Box	Release 2	Appendix 3, Section 1.1.3.2	Our proposed solution validates the user at each login and informs the user if the information is incorrect or does not exist.



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FR-INT-016	The Solution shall have the ability to automatically deactivate a user account if there has been no recent login based on configurable time frame as defined by the State.	Member Portal / Mobile Application Information --- INT 1.2.2 --- Display login	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.3.2	Our proposed solution has the ability to automatically deactivate users that have not logged in for a specified period of time. Our solution also has the capability to configure the period of inactivity.
FR-INT-017	The Solution shall have the ability to allow user roles, as defined by the State, to manually deactivate a user login.	Member Portal / Mobile Application Information --- INT 1.2.2 --- Display login	Intake	H				Custom - Easy	Release 2	Appendix 3, Section 1.1.3.2	Our solution will allow specific user roles the ability to manually deactivate a user login for members using the worker portal. The Self Service module in our worker portal will have a new screen that will allow the users to achieve this functionality.
FR-INT-018	The Solution shall display all current user specified preferences (if existing) or default preferences (if none exist) and allow the user to confirm or change preferences.	Member Portal / Mobile Application Information --- INT 1.2.2 --- Create Account	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.3.2	Once a user is logged into their member portal account, they can view all default or current preferences using the Member Portal's Manage Preferences Screen. The screen also allows members to add or update the following preferences <ul style="list-style-type: none"> - receive notifications by mail - receive notifications by email - receive notifications by text messages



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FR-INT-019	<p>The Solution shall allow a client to specify or update their preferences. Preferences may include, but are not limited to:</p> <p>i. Preferred method of communication (e.g., e-mail, SMS, phone, etc.)</p> <p>ii. Subscription to alerts and notifications (e.g., changes to client record, new messages, referral changes, etc.)</p> <p>iii. Notification types desired</p> <p>iv. Language preference including notification (Spanish/English)</p>	Member Portal / Mobile Application Information --- INT 1.2.3 --- Create Account	Intake	H				Custom - Easy	Release 2	Appendix 3, Section 1.1.3.2	<p>Our proposed solution allows a member to update their preferences from within their account using the Manage My Account module in member portal. Our solution provides the following capabilities</p> <p>i. Allow members to update their method of communication to one of the three values email, SMS and telephone number.</p> <p>ii. Allow members to opt in and opt out of receiving notifications using email and SMS.</p> <p>iii. Allow members to capture the notification type if they choose to opt in for notifications. Our solution provides capability to send notifications by email and SMS.</p> <p>iv. Our solution will be customized to capture the member's language preference to one of the two values - English and Spanish. Once the preferences are updated, our solution can be customized to create an task to the worker to update the language information using worker portal.</p>
FR-INT-020	The Solution shall generate a notification to the user that the personal preferences have been updated.	Member Portal / Mobile Application Information --- INT 1.2.3 --- Create Account	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.3.2	After preferences are updated, the solution confirms the update to the user and notifies the user that their preferences have been updated by either sending an email confirmation or by sending a text message.
FR-INT-021	The Solution shall have the ability to provide account confirmation and send notification to the user based on user preferences.	Member Portal / Mobile Application Information --- INT 1.2.4 --- Account Confirmation	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.3.2	Our proposed solution provides account confirmation and sends notifications to users based on their selected preference for notification type.
FR-INT-023	The Solution shall have the ability for the applicant to provide login information.	Member Portal / Mobile Application Information --- INT 1.2.6 --- Provide Login Credentials	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.3.2	Our proposed solution allows the applicant to provide their user name and password prior to accessing the portal.



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FR-INT-024	The Solution shall have the ability for the applicant to retrieve or reset user id/password.	Member Portal / Mobile Application Information --- INT 1.2.6 --- Provide Login Credentials	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.3.2	Our proposed solution has built in functionality for allowing the members to retrieve their user ID and reset their password. The members can retrieve the user ID by entering their case information like SSN, Date of Birth and Client ID. The members can reset the password either using their secret questions entered at the time of account creation online or preferring to receive their temporary password to their preferred method of communication (email/SMS)
FR-INT-025	The Solution shall have the ability to validate the login credentials.	Member Portal / Mobile Application Information --- INT 1.2.7 --- Validate Login Credential	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.3.2	Our solution provides the capability for the members to enter their username and password on the login screen. Once the member enters the data, our solution provides the authenticates the information by connecting with the active directory.
FR-INT-026	The Solution shall have the ability to restrict the applicant from logging in after reaching maximum number of invalid login attempts.	Member Portal / Mobile Application Information --- INT 1.2.7 --- Validate Login Credential	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.3.2	Our proposed solution has functionality to restrict access to the portal based on number of failed attempts. This number is configurable and defined during the design sessions. The number of remaining attempts is also displayed to the member to prevent them from getting their account locked.
FR-INT-027	The Solution shall have the ability to automatically direct a user to a landing 'Home' page upon a successful log-in.	Member Portal / Mobile Application Information --- INT 1.2.8 --- Direct to Home Page	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.3.2	After validating the login credentials, our proposed solution routes the user to the Check my Benefits page following the acceptance of the confidentiality and privacy agreement. The Check My benefits page allows the members to apply for a new application and also to check the status of their benefits.
FR-INT-028	The Solution shall provide guidance on the Member Portal regarding how to appeal a decision, either via static text or a link to static text.	Member Portal / Mobile Application Information --- INT 1.2.8 --- Direct to Home Page	Intake	H	200.055	Appeals		Configuration	Release 2	Appendix 3, Section 1.1.3.2	Our proposed solution incorporates guidance in the member portal on how to appeal a decision via static text as defined by the State.
FR-INT-029	The Solution shall allow an online applicant/member to retrieve an application that was saved for additional data collection prior	Member Portal / Mobile Application Information --- INT 1.2.9 --- Open an Existing Application/COC/ Link Document	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.4	Our proposed solution provides the ability to resume a previously started application. Our solution also provides the capability to take the members to the page where they had left while saving the application.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
	to submission or re-saving.										
FR-INT-030	The Solution shall allow an online applicant/member to navigate to sections previously completed without losing data entered.	Member Portal / Mobile Application Information --- INT 1.2.9 --- Open an Existing Application/COC/ Link Document	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.4	Our member portal provides the ability for the members to navigate to sections previous completed by using our summary screens that get queued up after every logical unit like person, income, expenses and resources. Members will be able to navigate to the screens using the navigation module displayed on top of all our screens and also using the back and next buttons on all member portal screens.
FR-INT-031	The Solution shall provide a mechanism to manually navigate/skip to any screens that the user is authorized to access.	Member Portal / Mobile Application Information --- INT 1.2.9 --- Open an Existing Application/COC/ Link Document	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.4	As defined in requirement FR-INT-008 our solution provides the capability of a dynamic user interface that allows queuing of questions based on the user input and also on other parameters like gender and age. Once the data for the required questions are captured our solution provides the ability to navigate manually to all screens they have access to, using the navigations tool that is available on top of all our member portal screens. This feature allows the members to skip the data for screens they have already entered.
FR-INT-032	The Solution shall allow member/applicants to attach documents (including but not limited to verification proof documents) to a case/individual.	Member Portal / Mobile Application Information --- INT 1.2.9 --- Open an Existing Application/COC/ Link Document	Intake	H	200.035	Verification		Out of the Box	Release 2	Appendix 3, Section 1.1.4.1	Our proposed solution provides a mechanism for document upload through the member portal. The solution provides the capability for members to upload documents after submitting an application, change report or renewal online through the member portal's Document Upload Capability module. The solution also provides the capability to upload pending verification documents through the Check My Benefits module in our solution.



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FR-INT-033	The Solution shall allow user roles, as defined by the State, to reassign documents from a case/ individual.	Search for Existing Application/Case --- INT 1.3.5 --- Open an Existing Application/COC/ Link Document	Intake	H				Out of the Box	Release 1	Appendix 3, Section 1.1.4.1	Our proposed solution allows users with specific access to update the metadata of documents using the Document Inquiry and Re-index screen. This allows users to reassign documents at the case and individual level. Our solution also provides the capability to automatically reassign documents the documents to the new case, when members move from one case to the other.
FR-INT-034	The Solution shall allow members/applicants to delete documents from an individual/case.	Member Portal / Mobile Application Information --- INT 1.2.9 --- Open an Existing Application/COC/ Link Document	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.4.1	Our proposed member portal solution allows members to preview and delete uploaded documents before final submission. A summary screen is queued up for the members to accomplish this functionality.
FR-INT-035	The Solution shall allow user roles, as defined by the State, to delete or reassign documents from an individual application or eligibility case.	Search for Existing Application/Case --- INT 1.3.5 --- Open an Existing Application/COC/ Link Document	Intake	H				Out of the Box	Release 1	Appendix 3, Section 1.1.4.1	Our proposed solution allows specific worker portal users to update the metadata of documents as defined in requirement # FR-INT-033. The worker portal's Document Re-index Screen also allows users to mark a document for deletion. This functionality only removes the document reference from the member and does not physically delete the document from ECM. All the delete and update transactions are also captured in our audit log and can be viewed by the users using the Case Action History screen.
FR-INT-036	The Solution shall have the ability to accept medical bills for Medically Needy applications and Medical Packet for TennCare Standard.	Member Portal / Mobile Application Information --- INT 1.2.9 --- Open an Existing Application/COC/ Link Document	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.4.1	Our solution has the ability to accept medical bills for Medically Needy applicants and Medical Packets along with all other types of documents. Our member portal's Document Upload Capability module allows users to choose specific document types including medical bills.
FR-INT-037	The Solution shall provide capability to link a document to multiple members and cases.	Member Portal / Mobile Application Information --- INT 1.2.9 --- Open an Existing Application/COC/ Link Document	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.4.1	Our member portal allows members to upload documents to an application or case. The members portal allows the capability to upload the documents for all individuals belonging to the case or application. Our member portal also provides the capability to automatically filter the document types based on the category. For example our document would list a subset of document related to income for cases where an income verification is required.



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FR-INT-038	The Solution shall allow member/applicants to add, remove, or change document type descriptions.	Member Portal / Mobile Application Information --- INT 1.2.9 --- Open an Existing Application/COC/ Link Document	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.4.1	Our proposed solution allows members to update to add/remove/change a document type description before the final submission. Our summary screen provides the capability to preview and update the document type description based on document categories.
FR-INT-039	The Solution shall provide the capability for online applicants/member to enter or report changes of circumstances through the online portal.	Member Portal / Mobile Application Information --- INT 1.2.9 --- Open an Existing Application/COC/ Link Document	Intake	H	200.030	The Application Process		Out of the Box	Release 2	Appendix 3, Section 1.1.3.1	Our proposed solution provides the capability for changes in circumstance to be reported through the online portal. Our solution captures details including the type of change, effective date of change. Our solution provides the capability to report the following changes online.- Change of Address-Members moving into the household- Members moving out of the household- Change in Citizenship and Immigration status- Change of circumstances with pregnancy information on the case- Changes with school enrollment-Change in marital status- Change in Healthcare and Other Medicaid Coverage- Change in Income and Resources-Change in Bills and Expenses- Change in Authorized Representative data- Request for Withdrawal or Closure.
FR-INT-040	The Solution shall allow member/applicants to review, update, or print an application.	Member Portal / Mobile Application Information --- INT 1.2.9 --- Open an Existing	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.4	Applications submitted through the online portal have the opportunity to be reviewed and updated prior to submission. Following submission, a printable PDF of the application data entered is available for print and stored in the user's account.



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		Application/COC/ Link Document									
FR-INT-041	The Solution shall allow member/applicants to withdraw an application, before or after submission.	Member Portal / Mobile Application Information --- INT 1.2.9 --- Open an Existing Application/COC/ Link Document	Intake	H	200.030	The Application Process		Out of the Box	Release 2	Appendix 3, Section 1.1.4	Our solution provides the ability for a customer to request an application withdrawal before submission if they wish to retract their application. Furthermore, applications not submitted will be purged from the user's account after a specified period of time, as defined by the State. Once an application is submitted our solution provides the capability for members to request a withdrawal or closure using the online change reporting module.
FR-INT-042	The Solution shall interface with the Electronic Content Management system(s) to access and display documents and notices related to members and cases.	Member Portal / Mobile Application Information --- INT 1.2.9 --- Open an Existing Application/COC/ Link Document Eligibility Determination --- ED 1.6 --- Assess Verification Information	Electronic Content Management	H			The State shall plan to re-use, where possible, the currently utilized ECM tool, FileNET.	Out of the Box	Release 2	Appendix 3, Section 1.1.4.1	Our proposed solution provides the ability to interface with state's IBM FileNet Electronic Content Management system to access and display case and member documents and notices. Our solution provides web services that can be integrated with FileNet 1. Add document, 2. View Document, 3.Update Document, 4.Search Document, and 5. Re-Index Documents, which are available to FileNet on Day 1.
FR-INT-043	The Solution shall allow an online applicant/members to enter income, resource, and other asset data consistent with program policy.	Member Portal / Mobile Application Information --- INT 1.2.10 --- Create a New Application	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.4	Our online application will allow an online applicant/member to enter income, resource, and other asset data consistent with program policy.
FR-INT-044	The Solution shall have the ability to capture applicant/member MCO preference.	Worker/Partner Portal Application Information --- INT 1.2.10 --- Create a New Application	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.4	Our solution provides the capability to capture the applicant's Managed Care Organization (MCO) preference while submitting an application for HealthCare. Our solution has the capability to configure the MCO's specific to State of Tennessee.



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FR-INT-045	The Solution shall allow an online applicant/member to save an application without submitting it.	Member Portal / Mobile Application Information --- INT 1.2.10 --- Create a New Application	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.4	The online portal allows the applicant to save an application for a specified period of time prior to submission.
FR-INT-046	The Solution shall have the ability to capture a digital signature.	Member Portal / Mobile Application Information --- INT 1.2.10 --- Create a New Application	Intake	H	200.030	The Application Process		Out of the Box	Release 2	Appendix 3, Section 1.1.4	NextGen applications are all electronically signed prior to submission by capturing the applicant's name and date attesting to agreement of state specific rights and responsibilities. This method has been implemented in other states by Deloitte and is approved by CMS.
FR-INT-047	The Solution shall provide interactive capability to present applicants with prompts to efficiently gather additional information when required.	Member Portal / Mobile Application Information --- INT 1.2.10 --- Create a New Application	Intake	H	200.030	The Application Process		Out of the Box	Release 2	Appendix 3, Section 1.1.4	NextGen's built in features help guide applicants through the data collection process. Our proposed solution uses error and warning message to prompt the user and prevent the entry of incorrect or incomplete data. Additionally our solution provides the capability to collect data at the individual level and display the information collected at a summary at the end of all logical areas like person, income and resources. Our solution also provides icons with the member names at our question level pages, helping the members interactively to capture data.
FR-INT-048	The Solution shall provide a mechanism to define required and optional fields, including default data values as applicable, based on program rules.	Member Portal / Mobile Application Information --- INT 1.2.10 --- Create a New Application	Intake	H	200.030	The Application Process		Out of the Box	Release 2	Appendix 3, Section 1.1.4	Our solution is configurable to define required and optional fields, including default values, based on your specific program rules.
FR-INT-049	The Solution shall provide field level help for each online application data element that includes description and required format in the form of pop-up/hover.	Member Portal / Mobile Application Information --- INT 1.2.10 --- Create a New Application	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.3.1	Our proposed solution is configurable to provide field level help for online application data elements through the use of hover text, as allowable by 508 compliance standards.



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FR-INT-050	The Solution shall provide static text on the web and application in languages defined by the State, including: i. English ii. Spanish	Member Portal / Mobile Application Information --- INT 1.2.10 --- Create a New Application	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.3.1	Our proposed member portal solution has the capability to support static text in two languages English and Spanish. Our solution provides the capability to enter a Spanish text the state provides along with their English equivalent. Our solution also allows members to dynamically switch between the two languages using the language link displayed on all member portal screens.
FR-INT-051	The Solution shall allow applicant to apply for multiple public assistance programs online.	Member Portal / Mobile Application Information --- INT 1.2.10 --- Create a New Application	Intake	H	200.030	The Application Process		Out of the Box	Release 2	Appendix 3, Section 1.1.4	Our solution supports the ability to apply for Medicaid, CHIP, and multiple public assistance programs. We recognize that the state intends to expand the member portal to support SNAP, TANF and Child Care. Our solution has supported the ability for a member to apply for SNAP, TANF and Child Care in addition to Medicaid in other states. The member portal that we propose to implement in Tennessee will contain this capability which can be extended to support Tennessee specific application requirements for these public assistance programs.
FR-INT-052	The Solution shall allow applicants to apply for multiple programs in person, through mail, fax, online or call centers.	Member Portal / Mobile Application Information --- INT 1.2.10 --- Create a New Application	Intake	H	200.030	The Application Process		Out of the Box	Release 2	Appendix 3, Section 1.1.1	NextGen will allow applicants to apply for multiple programs in person, through mail, fax, online or call centers.
FR-INT-053	The Solution shall be capable of accepting a newly submitted application for healthcare and process it as a change of circumstance when: i. The applicant is a member who is receiving existing benefits, or ii. The applicant has an online account and previously submitted healthcare applications.	Member Portal / Mobile Application Information --- INT 1.2.10 --- Create a New Application	Intake	H	200.030	The Application Process	If the newly submitted application is for MSP or LTSS, then the application would not be considered a change of circumstance.	Out of the Box	Release 2	Appendix 3, Section 1.1.4	Our proposed member portal solution allows members to submit for applications and does not restrict the members under any circumstances. Once the applications are submitted, our worker portal has the capability to process the application as a change if the member is already receiving benefits. Our file clearance process enables the user identify if the members are already on benefits.



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FR-INT-054	The Solution shall have the ability to accept a completed document regarding an individual's medical records or medical bills.	Member Portal / Mobile Application Information --- INT 1.2.10 --- Create a New Application	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.4.1	As defined in requirement FR-INT-036, our solution has the ability to accept medical bills for Medically Needy applicants and Medical Packets along with all other types of documents. Our member portal's Document Upload Capability module allows users to choose specific document types including medical bills.
FR-INT-055	The Solution shall allow member/applicants to submit an application.	Member Portal / Mobile Application Information --- INT 1.2.11 --- Submit Application / Update Case	Intake	H	200.030	The Application Process		Out of the Box	Release 2	Appendix 3, Section 1.1.4	Our proposed solution allows members/applicants to submit an application through member portal online. Our member portal will capture data that can be used to evaluate members for all categories of medical assistance benefits listed in the RFQ. Once an application is submitted our solution also provides the capability to treat the application as a change if the member is already receiving benefits through our file clearance module in worker portal.
FR-INT-056	The Solution shall assign a configurable unique identifier for each application recorded.	Member Portal / Mobile Application Information --- INT 1.2.11 --- Submit Application / Update Case	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.4	Upon application submission, our proposed solution assigns each application a unique application identifier.
FR-INT-057	The Solution shall have the ability to automatically remove an in-progress application based on a configurable timeframe, as defined by the State.	Member Portal / Mobile Application Information --- INT 1.2.11 --- Submit Application / Update Case	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.4	In-progress applications are purged from our proposed solution based on the timeframe defined by the State.
FR-INT-058	The Solution shall have the ability to alert applicants/members prior to their unsubmitted application being deleted at the end of the State-defined time period.	Member Portal / Mobile Application Information --- INT 1.2.11 --- Submit Application / Update Case	Intake	H				Custom - Easy	Release 2	Appendix 3, Section 1.1.4	Our proposed solution is customizable to generate a notification to an applicant based on their preferred method of communication if their unsubmitted applications is in jeopardy of being discarded by the system. However for this to be achievable the applicant must provide a preferred method of communication. After a specified duration of days from when the communication is sent out a batch process will discard unsubmitted applications.



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FR-INT-059	The Solution shall have the ability to prohibit the submission of an application that does not contain all mandatory fields, as defined by the State.	Member Portal / Mobile Application Information --- INT 1.2.11 --- Submit Application / Update Case	Intake	H	200.030	The Application Process		Out of the Box	Release 2	Appendix 3, Section 1.1.4	Our proposed solution makes use of error and warning messages to prohibit the submission of an application that does not include all State defined mandatory fields for each program.
FR-INT-060	The Solution shall have the ability to alert the member/applicant when incomplete or invalid data is entered.	Member Portal / Mobile Application Information --- INT 1.2.11 --- Submit Application / Update Case	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.4	Our proposed member portal solution makes use or error and warning messages to alert the member when incomplete or invalid data is entered.
FR-INT-061	The Solution shall present the applicant/worker with a summary view of the information entered prior to submission.	Member Portal / Mobile Application Information --- INT 1.2.11 --- Submit Application / Update Case	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.4	For Release 2, our member portal provides summary screens at the end of each module to review application information prior to submission. For Release 1, our worker portal also provides the summary module for the worker at the end of each module, allowing the users to view a summary of the information entered and also to update and delete the data entered.
FR-INT-062	The Solution shall allow an online applicant to review the current application before and after formal submission.	Member Portal / Mobile Application Information --- INT 1.2.11 --- Submit Application / Update Case	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.4	Online applicants are able to review all data entered in their online application prior to submitting. After submission, the solution generates a PDF of the application data entered that is available for review and printing.
FR-INT-063	The Solution shall require the applicant/member to agree to all required affirmations and agreements, as defined by the State, prior to submitting an application.	Member Portal / Mobile Application Information --- INT 1.2.11 --- Submit Application / Update Case	Intake	H	200.030	The Application Process		Out of the Box	Release 2	Appendix 3, Section 1.1.4	Our proposed solution has a robust signature page that includes all State defined affirmations and agreements. The signature page displays all the required state defined agreements for the members and also captures the member first name, middle initial and last name as an indication of his digital signature. This page is reviewed carefully during the design sessions, as requirements often vary between states.



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FR-INT-064	The Solution shall provide the ability to automatically and manually collect, update, and manage information about applicant/member population from paper applications (delivered through mail or in person) to be used in the intake process.	Intake --- INT 1.3 --- Mail/Fax Application Information	Intake	H				Configuration	Release 1	Appendix 3, Section 1.1.7	Our proposed solution allows all information collected from paper applications to be uploaded to the Electronic Content Management system for use in the intake process. The solution uses the OCR capabilities to populate data and also allows users to manually enter data from the paper applications. Data entered during the intake process from the paper application is collected, updated, and managed throughout the lifecycle of the application and case.
FR-INT-066	The Solution shall have the ability to receive and store documentation received via mail, fax or e-faxed.	Mail/Fax Application Information --- INT 1.3.2 --- Receive application/ Verification Request for Verification --- ED 1.7.4 --- Receive Information Post-Eligibility Verifications --- CM 1.2.9 --- Member Sends Information Post-Eligibility Verifications --- CM 1.2.10 --- Receive Information	Electronic Content Management	H			The State shall plan to re-use, where possible, the currently utilized ECM tool, FileNET.	Out of the Box	Release 1	Appendix 3, Section 1.1.7.1	Documentation that is mailed, faxed, or e-faxed is received and scanned through our proposed IBM Datacap scanning and indexing solution. Once the documents are scanned our solution will store the document using state's existing IBM Filenet Electronic Content Management (ECM) system. Our member, partner, worker portal also provides the capability to interface with the state's ECM to retrieve and display the documents to members, partners and users respectively.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-INT-067	The Solution shall have the ability to scan documentation and store document images.	Mail/Fax Application Information --- INT 1.3.3 --- Scan and Index Document Request for Verification --- ED 1.7.5 --- Store Provided Information Post-Eligibility Verifications --- CM 1.2.11 --- Store Information Received Appeals Intake -- - AP 1.1.1.4 --- Scan, Index, and Assign Type Appeals Intake -- - AP 1.1.1.6 --- Supplemental Data Entry ART/AIR --- AP 1.1.3.4 --- Consolidate Information Associated with Appeal	Document Scanning	H				Out of the Box	Release 1	Appendix 3, Section 1.1.7.1	Our proposed IBM DataCap solution provides scanning and indexing capabilities to the State of Tennessee users The IBM Datacap solution also seamless integrates with the NextGen solution for creating tasks and the state's IBM Filenet solution for storing and retrieving documents.
FR-INT-068	The Solution shall have the ability to capture defining characteristics (metadata) of scanned documentation.	Mail/Fax Application Information --- INT 1.3.3 --- Scan and Index Document Appeals Intake -- - AP 1.1.1.4 --- Scan, Index, and Assign Type Appeals Intake -- - AP 1.1.1.6 --- Supplemental Data Entry ART/AIR --- AP 1.1.3.4 --- Consolidate Information	Electronic Content Management	H			The State shall plan to re-use, where possible, the currently utilized ECM tool, FileNET.	Out of the Box	Release 1	Appendix 3, Section 1.1.7.3	Our proposed IBM Datacap solution allows users to configure metadata of scanned documents such as document title, case number, client ID, first name, last name, office name etc. Our proposed solution provides the capability to automatically populate the metadata for documents using OCR capabilities. Our solution also allows users indexing documents to record the metadata for all scanned documents manually.



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		Associated with Appeal									
FR-INT-069	The Solution shall have the ability to electronically date and time stamp scanned documents.	Mail/Fax Application Information --- INT 1.3.3 --- Scan and Index Document Appeals Intake -- - AP 1.1.1.4 --- Scan, Index, and Assign Type Appeals Intake -- - AP 1.1.1.6 --- Supplemental Data Entry ART/AIR --- AP 1.1.3.4 --- Consolidate Information Associated with Appeal	Electronic Content Management	H	200.030	The Application Process	The State shall plan to re-use, where possible, the currently utilized ECM tool, FileNET.	Out of the Box	Release 1	Appendix 3, Section 1.1.7.5	Our IBM DataCap scanning solution captures the date and timestamp of the scanned documents in the format preferred by the state. This information is also transferred to the NextGen solution and is available for the users to be viewed on the worker portal.
FR-INT-070	The Solution shall have the ability to configure recognition thresholds associated with OCR capability.	Mail/Fax Application Information --- INT 1.3.3 --- Scan and Index Document Appeals Intake --- AP 1.1.1.4 --- Scan, Index, and Assign Type Appeals Intake --- AP 1.1.1.6 --- Supplemental	Document Scanning	M				Configuration	Release 2	Appendix 3, Section 1.1.7.4	Our proposed IBM DataCap solution provides the state with the ability to configure the out of box tool with OCR threshold limits. The Configuration capabilities include removal of spaces, skip recognition and spell check options.



Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
	Data EntryART/AIR --- AP 1.1.3.4 --- Consolidate Information Associated with Appeal									
FR-INT-071	The Solution shall allow searching of documents by document type and sub-type.	Electronic Content Management	M			The State shall plan to re-use, where possible, the currently utilized ECM tool, FileNET.	Configuration	Release 1	Appendix 3, Section 1.1.7.7	Our solution provides the State of Tennessee workers the capability to search documents by using the Worker Portal. Our solution makes use Document Inquiry Screen in Worker Portal to search and view documents. The documents for a specific case can also be viewed using the Electronic Case File option that is available to the users on all Data Collection screens.
FR-INT-072	The Solution shall assign a configurable unique identifier to each scanned document.	Electronic Content Management	H			The State shall plan to re-use, where possible, the currently utilized ECM tool, FileNET.	Out of the Box	Release 1	Appendix 3, Section 1.1.7.6	Each document that gets scanned using our proposed IBM DataCap solution will have a unique identifier that gets associated with it.



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FR-INT-073	The Solution shall have Optical Character Recognition (OCR) capability to read the scanned documents and associate the data with an application/case.	Mail/Fax Application Information --- INT 1.3.4 --- Validate Scanned Documents Appeals Intake -- - AP 1.1.1.5 --- Validate Scanned Documents	Document Scanning	M			Out of the Box	Release 2	Appendix 3, Section 1.1.7.2	<p>Our proposed solution has the capability of recognizing and capturing various types of data from the scanned image document. The solutions can capture below types of data from the image file</p> <ol style="list-style-type: none"> 1. Hand written – using intelligent character recognition (ICR) engine 2. Machine printed – using optical character recognition (OCR) engine 3. Checkbox marking – using optical mark recognition (OMR) engine 4. Barcodes <p>For documents that cannot be recognized using the OCR, our solution provides the capability to route them to a specific queue, so that users can manually index the same.</p>
FR-INT-074	The Solution shall allow user roles, as defined by the State, to validate the scanned application/document.	Mail/Fax Application Information --- INT 1.3.4 --- Validate Scanned Documents Appeals Intake -- - AP 1.1.1.5 --- Validate Scanned Documents	Document Scanning	H			Out of the Box	Release 1	Appendix 3, Section 1.1.7.8	<p>Our proposed IBM DataCap solution will allow users to validate the scanned documents using the verify panel. Once the scanning process is complete, our NextGen worker portal will also allow the users to view the documents from either the Inbox or the Document Inquiry Screen. Our solution's role based access capability can also be used to grant and remove access to specific users to perform document search/view capabilities.</p>
FR-INT-075	The Solution shall allow user roles, as defined by the State, to edit/update a scanned applications/documentation and its metadata.	Mail/Fax Application Information --- INT 1.3.4 --- Validate Scanned Documents Appeals Intake -- - AP 1.1.1.4 --- Scan, Index, and Assign Type Appeals Intake -- - AP 1.1.1.5 --- Validate	Document Scanning	H			Out of the Box	Release 1	Appendix 3, Section 1.1.7.8	<p>Document Re-index screen in our solution will allow users with access to update metadata information such as case number, client ID etc. Our solution will also integrate with the state's IBM Filenet repository to update the metadata information back. This will keep the data from both systems to be consistent.</p>



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		Scanned Documents									
FR-INT-076	The Solution shall allow user roles, as defined by the State, to search for members.	Mail/Fax Application Information --- INT 1.3.5 --- Search for Existing Application/Case	Intake	H				Out of the Box	Release 1	Appendix 3, Section 1.1.6.3	Our solution provides the capability for authorized users to do a member search using the Person Search Screen in our worker portal.
FR-INT-077	The Solution shall allow users roles, as defined by the State, to search using criteria that may include, but is not limited to: 1. First name (partial name) 2. Last name (partial name) 3. Date of birth / age 4. Social security number 5. Address 6. Unique Identifier 7. Any Member in a Household	Search for Existing Application/Case --- INT 1.3.5.1 --- Enter Information to Search for Existing Application	Intake	H	200.030	The Application Process		Out of the Box	Release 1	Appendix 3, Section 1.1.6.3	Our proposed solution has a robust search criteria, including : first name (partial search), last name (partial search), date of birth/age, social security number, address, unique identifier (i.e. application number), household members using our Person Search screen in our worker portal.
FR-INT-078	The Solution shall have the capability to search for an in-progress application	Search for Existing Application/Case --- INT 1.3.5.1 --- Enter Information	Intake	H				Out of the Box	Release 1	Appendix 3, Section 1.1.6.3	Our solution generates an application number upon application submission which can be used to search for a submitted, in progress, or complete application using our Application Inquiry Screen in worker portal



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
	through an application ID.	to Search for Existing Application									
FR-INT-079	The Solution shall allow a search based on one single criteria or multiple search criteria.	Search for Existing Application/Case --- INT 1.3.5.1 --- Enter Information to Search for Existing Application	Intake	H				Out of the Box	Release 1	Appendix 3, Section 1.1.6.3	Searches within NextGen Worker Portal can be performed using single or multiple data criteria. All our inquiry screens provide search options (text boxes, dropdowns and check boxes) on the top of the screens with a summary of the results in the bottom. Our solution provides the capability for the users to search using one or more of the search options.
FR-INT-080	The Solution shall allow user roles, as defined by the State, to save their search criteria.	Search for Existing Application/Case --- INT 1.3.5.1 --- Enter Information to Search for Existing Application	Intake	M				Custom - Easy	Release 1	Appendix 3, Section 1.1.6.3	Our proposed solution can be customized to save search criteria commonly used by certain user roles. This allows for easier and quicker use of the search functionality.
FR-INT-081	The Solution shall display search results in order of relevancy (i.e. matches meeting most criteria) and other criteria defined by the State.	Search for Existing Application/Case --- INT 1.3.5.1 --- Enter Information to Search for Existing Application	Intake	H				Out of the Box	Release 1	Appendix 3, Section 1.1.6.3	The search criteria in our proposed solution is robust, and results are displayed in order of relevancy based on the module. For example our solution has the capability to sort the person search using the matching score logic and displays the most relevant search on top of the results.
FR-INT-082	The Solution shall allow user roles, as defined by the State, to refine search results by adding additional search criteria which is applied to the existing search results.	Search for Existing Application/Case --- INT 1.3.5.1 --- Enter Information to Search for Existing Application	Intake	H				Out of the Box	Release 1	Appendix 3, Section 1.1.6.3	Our solution contains many search screens that can be used to perform data searches by key attributes. While certain fields remain mandatory these screens provide optional fields that can be used to refine search criteria. However, these optional fields are specific to the type of search screens and driven by the current configuration and can be extended based on the state's requirements.
FR-INT-083	The Solution shall allow sorting and filtering of search results by search criteria.	Search for Existing Application/Case --- INT 1.3.5.1 --- Enter Information to Search for	Intake	H				Out of the Box	Release 1	Appendix 3, Section 1.1.6.3	When a search is performed in NextGen, the results are displayed and can be sorted and filtered by the individual search criteria. Our summary results table displays arrows on each of the field element in its header. Our solution provides the users the capability to sort using the arrow icons.



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		Existing Application									
FR-INT-084	The Solution shall display search results in summary form (subset of search criteria such as first name, last name and age) and detail (display all search criteria).	Search for Existing Application/Case --- INT 1.3.5.1 --- Enter Information to Search for Existing Application	Intake	H				Out of the Box	Release 1	Appendix 3, Section 1.1.6.3	When a search is performed in NextGen, the results are displayed in summary form. The solution also allows users to view details of each search result by clicking on the details icon listed near the summary results.
FR-INT-085	The Solution shall allow for partial text search ability (or fuzzy search), phonetic search and value range (e.g., dates, age, zip codes) search.	Search for Existing Application/Case --- INT 1.3.5.1 --- Enter Information to Search for Existing Application	Intake	H				Out of the Box	Release 1	Appendix 3, Section 1.1.6.3	Our proposed solution provides the ability for the users with the following search capabilities on our inquiry screens. Partial Text Search - Our solution supports partial text searches and displays the results. For example while searching for a city, our solution will bring the result all the members with address as Nashville if the users search for the word Nash. Phonetic Search - This capability is provided in our Person Search Screen that supports the member searching using our file clearance module. Value Range Search - A most common search mechanism that is used in our inquiry screens that provides users the ability to search using date parameters.
FR-INT-086	The Solution shall allow user roles, as defined by the State, to enable on-demand partial text search ability (or fuzzy search).	Search for Existing Application/Case --- INT 1.3.5.1 --- Enter Information to Search for Existing Application	Intake	M				Custom - Easy	Release 1	Appendix 3, Section 1.1.6.3	Our solution provides wild card and phonetic search capability out of the box. Our solution can be customized to support fuzzy search capabilities.



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FR-INT-087	The Solution shall have the ability to present search results in small groups of data with Next/Back paging capability for multiple pages.	Search for Existing Application/Case --- INT 1.3.5.1 --- Enter Information to Search for Existing Application	Intake	H				Out of the Box	Release 1	Appendix 3, Section 1.1.6.3	Our proposed solution organizes results in groups that are visually pleasing. Nextback paging capability is included for searches that return multiple records that cannot be displayed in a single page. Our solution also provides the capability to configure the number of results that can be displayed on a given page.
FR-INT-088	The Solution shall allow user roles, as defined by the State, to access individual/case information through links from a search result.	Search for Existing Application/Case --- INT 1.3.5.1 --- Enter Information to Search for Existing Application	Intake	H				Out of the Box	Release 1	Appendix 3, Section 1.1.6.3	Hyperlinks in the NextGen search results provide the user with a quick way to navigate to an application, case, individual, or subset of data.
FR-INT-089	The Solution shall support the initiation and capture of application information via telephonic technology.	Intake --- INT 1.4 --- Phone Application Information	Intake	L	200.030	The Application Process		Out of the Box	Release 2	Appendix 3, Section 1.1.4	Our worker Portal allows contact center users to register applications through telephone. Contact center workers will have the ability to enter data through our worker portal's Application registration and Data Collection modules. The screens also provides the capability for the users to indicate the source and channel of application as they are entering the data.
FR-INT-090	The Solution shall have the ability to record application date/time, the minimum required application information including the telephonic signature via an inbound call.	Intake --- INT 1.4 --- Phone Application Information	Intake	L	200.030	The Application Process		Custom - Moderate	Release 2	Appendix 3, Section 1.1.4	Our proposed solution has the capability to integrate with a document management system that contains an audio recording captured and stored by the state's telephonic system of the member's telephonic signature and associate that to an incoming application. This audio file will remain within the electronic case file of the application.
FR-INT-091	The Solution shall have the ability to generate a notice to the phone applicant including the application information that was submitted in the system.	Intake --- INT 1.4 --- Phone Application Information	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.4	NextGen Worker portal generates a notice to phone applicants once the worker portal processes the data entered by the contact center users and determines eligibility for the members.



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FR-INT-095	The Solution shall have the ability to provide a link to scanned application documentation.	Intake --- INT 1.5 --- Worker/Partner Portal Application Information	Intake	H				Out of the Box	Release 1	Appendix 3, Section 1.1.4.1	Our proposed solution includes a screen where workers can access all scanned application/case documents. Authorized users have access to our worker portal's document inquiry screen and the electronic case file screen to view the documents.
FR-INT-096	The Solution shall have the ability to enter application/case information through the worker portal with a dynamic user interface.	Intake --- INT 1.5 --- Worker/Partner Portal Application Information	Intake	H				Out of the Box	Release 1	Appendix 3, Section 1.1.6.4	Questions throughout the application are queued dynamically based on the program(s) selected, and as the user progresses through the application information they provide further drives the data collection questions. The questions are also dynamically queues based on gender, age and details of specific questions are only queued based on the users responding as 'yes' to the questions at the summary level.
FR-INT-097	The Solution shall have the ability to enter application/case information through the partner portal with a dynamic user interface. Partners include, but are not limited to: i. Department of Children Services ii. Department of Health	Intake --- INT 1.5 --- Worker/Partner Portal Application Information Worker/Partner Portal Application Information --- INT 1.5.4 --- Complete Full Application Worker/Partner Portal Application Information --- INT 1.5.6 --- Complete Full Application	Intake	H				Out of the Box	Release 2	Appendix 3, Section 1.1.5	Our solution includes a partner portal module that allows the State to provide partners with the ability to submit member applications. Our common online application screens are queued based on a configurable driver flow that can be used to cater to other types of Medicaid applications for other agencies including the Department of Children Services and the Department of Health.
FR-INT-098	The Solution shall have the ability to allow role-based users, as defined by the State, to access in-progress applications from the Worker Portal and Partner Portal.	Intake --- INT 1.5 --- Worker/Partner Portal Application Information	Intake	H				Out of the Box	Release 1	Appendix 3, Section 1.1.6.3	Our solution provides the ability to configure role-based access to all system functionality, including accessing in-progress applications from the worker and partner portals.
FR-INT-099	The Solution shall provide guidance on the Partner Portal regarding how to appeal a decision, either via static text or a link to static text.	Intake --- INT 1.5 --- Worker/Partner Portal Application Information	Intake	H	200.055	Appeals		Out of the Box	Release 2	Appendix 3, Section 1.1.5	Our proposed solution incorporates guidance in the partner portal on how to appeal a decision via static text as defined by the State.



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FR-INT-124	The Solution shall allow administrators to reset internal user's passwords.	Intake --- INT 1.5 --- Worker/Partner Portal Application Information	Intake	H				Configuration	Release 1	Appendix 3, Section 1.1.6.1	Our solution can leveraged its role-based functionality to provide access to specific users in the State to reset the password for other internal users using the Maintain Employee screen in the worker portal.
FR-INT-101	The Solution shall have the ability to interface with the MMIS to verify existing Medicaid eligibility on a real-time or near real-time basis.	Worker/Partner Portal Application Information --- INT 1.5.2 --- Check MMIS to Verify Existing Medicaid Benefits Worker/Partner Portal Application Information --- INT 1.5.5 --- Check MMIS to Verify Existing Medicaid Benefits Denial / Terminate --- E&DT 1.2.1 --- Verify Existing Enrolment Record	MMIS Interface	H				Custom - Easy	Release 1	Appendix 3, Section 1.1.8.3	We will make use of NextGen's existing real-time interfacing capabilities and our knowledge of State MMIS system to build a new interface with the MMIS on a real-time or near real-time basis. This real-time interfacing capability will help partners to verify if the member is already receiving Medicaid and also reduce the time for workers to process duplicate applications.
FR-INT-102	The Solution shall allow user roles, as defined by the State, to enter the individual's presumptive eligibility into the eligibility system.	Worker/Partner Portal Application Information --- INT 1.5.3 --- Complete Presumptive Eligibility Application Worker/Partner Portal Application Information --- INT 1.5.7 --- Complete Immediate Eligibility Application	Intake	H				Custom - Easy	Release 2	Appendix 3, Section 1.1.5	Our partner portal allows users to complete an application for presumptive eligibility. Our solution also allows users to enter the presumptive eligibility information into the worker portal using a new screen in the Data Collection module



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FR-INT-107	The Solution shall have the ability to record application date and application time upon submission.	Intake --- INT 1.6 --- Store Application Information	Intake	H	200.030	The Application Process		Out of the Box	Release 1	Appendix 3, Section 1.1.6.2	Our worker portal captures the application date and time for all applications entered into the system. This date is automatically calculated by the system for applications originating from member portal, partner portal and FFM.
FR-INT-108	The Solution shall store a record of all applications/documents submitted, including those withdrawn, based on TN OGC archival policy.	Intake --- INT 1.6 --- Store Application Information	Intake	H	Not Available	HICFA document retention		Out of the Box	Release 1	Appendix 3, Section 1.1.6.2	Our Solution stores a record of all documents that either get scanned or uploaded from the member and partner portals. The records are archived as per the TN OGC archival policy.
FR-INT-109	The Solution shall have the ability to collect applicant/household information and share across multiple programs.	Intake --- INT 1.6 --- Store Application Information	Intake	L				Out of the Box	Release 1	Appendix 3, Section 1.1.4	Our worker portal collects data at the household and individual level. Once the data is collected, it can be shared across programs and there is no need for the user to collect or enter the data again for determining eligibility for other programs.
FR-INT-110	The Solution shall have the ability to status a stored/saved application as either 'in-progress' or 'submitted', while continuing eligibility determination processing (including verifications) for all 'submitted' status applications in a real time/near real-time basis.	Intake --- INT 1.6 --- Store Application Information	Intake	H				Out of the Box	Release 1	Appendix 3, Section 1.1.6.2	Our solution provides the capability to process applications and determine eligibility for members even if there are pending application associated with the case. For example our application continues to determine eligibility for cases that have one application in the submitted status and the other in-progress. Our solution also determines eligibility at the member level and can evaluate one member's eligibility while keeping the other members pending for reasons including verifications.



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FR-INT-112	The Solution shall be able to receive and process applications, including the eligibility assessment, from FFM without human intervention.	Intake --- INT 1.8 --- Transfer Account Information	Intake	H	200.030	The Application Process		Out of the Box	Release 1	Appendix 3, Section 1.1.8.1	The NextGen solution will make use of H15 Account transfer service for establishing the interface from FFM, and will receive applications from the FFM. The system will initiate 'No touch processing' for these applications, register the application, perform and update verifications, run eligibility and authorize the case per the Tennessee business policy.
FR-INT-113	The Solution shall have the ability acknowledge receipt of an account transfer from the FFM.	Intake --- INT 1.8 --- Transfer Account Information	Intake	H	200.030	The Application Process		Out of the Box	Release 1	Appendix 3, Section 1.1.8.1	Upon receipt of the application from the FFM, a complete record of each application received from the FFM will be stored in a staging table. Using this information, NextGen will attempt to populate the applicable database tables, and will send either an electronic error message or acknowledgement response to the FFM without human intervention. The electronic acknowledgement is sent as a real time response back to the FFM.



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FR-INT-114	The Solution shall have the ability to receive updates of account information and change of circumstance (COC) from the FFM and acknowledge receipt without human intervention.	Intake --- INT 1.8 --- Transfer Account Information	Intake	H	200.030	The Application Process		Out of the Box	Release 1	Appendix 3, Section 1.1.8.1	Our solution provides the capability to identify a change of circumstances from FFM using the application id received. For all updates and changes, our solution acknowledges the FFM transaction on a real-time basis. Our solution then generates a PDF document of the change and creates a task for the workers to look at and process the change.
FR-INT-115	The Solution shall be able to review data received from FFM and report any errors to FFM.	Intake --- INT 1.8 --- Transfer Account Information	Intake	H	200.030	The Application Process		Out of the Box	Release 1	Appendix 3, Section 1.1.8.1	Our proposed solution would be able to perform a review in the form of an XSD level Schematron validation on the application received from the FFM, and report back any errors to FFM.
FR-INT-116	The Solution shall have the ability to receive and store images from the FFM.	Intake --- INT 1.8 --- Transfer Account Information	Intake	L	200.030	The Application Process		Custom - Easy	Release 1	Appendix 3, Section 1.1.8.1	Our solution will make use of the state's existing IBM FileNet content repository to store documents received from FFM. Once the documents are stored in the state's IBM File net repository, our solution provides the capability to create tasks for the workers.
FR-INT-117	The Solution shall have the ability to index and align images received from the FFM to the associated applications/cases.	Intake --- INT 1.8 --- Transfer Account Information	Intake	L	200.030	The Application Process		Configuration	Release 1	Appendix 3, Section 1.1.8.1	Our solution will make use of the state's existing IBM FileNet content repository to store documents received from FFM. Our solution will also pass the metadata parameters to associate the documents with an application/case. Once the documents are stored in the state's IBM File net repository, our solution provides the capability to create tasks for the workers.
FR-INT-118	The Solution shall enable input processing of H15 account transfer transactions from the FFM in accordance with State and Federal defined format, schedule and processing rules.	Intake --- INT 1.8 --- Transfer Account Information	Intake	H	200.030	The Application Process		Out of the Box	Release 1	Appendix 3, Section 1.1.8.1	The NextGen solution will make use of the H15 Account transfer service for establishing the FFM Account Transfer interfaces, and receiving account transfers from the FFM. The FFM accounts transfers are received by our solution and the acknowledgement is sent back to FFM on a real time basis.



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FR-INT-119	The Solution shall create and transmit H15 account transfer referral transactions to the FFM in accordance with State and Federal defined format, schedule and processing rules.	Intake --- INT 1.8 --- Transfer Account Information	Intake	H	200.030	The Application Process		Out of the Box	Release 1	Appendix 3, Section 1.1.8.1	<p>The NextGen solution will also enable the system to send account referrals to the FFM for applicable cases using H15 service based interface. Cases needing to be referred per CMS guidance fit into two categories:</p> <ul style="list-style-type: none"> - An application originating from the FFM has a final eligibility determination made. - An application not originating from the FFM qualifies to have an account transferred to the FFM. The NextGen solution is equipped with the necessary logic to send the qualifying application as a referral to the FFM. <p>The referral transactions are sent to FFM every night, once the final eligibility for the applications/cases are determined.</p>
FR-INT-120	The Solution shall interface with the Social Security Administration's (SSA) system in accordance with State and Federal defined format, schedule and processing rules.	Intake --- INT 1.9 --- Send SSI Recipient Information	Intake	H	200.030	The Application Process		Out of the Box	Release 2	Appendix 3, Section 1.1.8.2	<p>Our proposed solution contains built-in interfaces with the following SSA interfaces</p> <ul style="list-style-type: none"> - SDX - Daily and Monthly - LIS - Daily Interface - SVES - Daily Interface - BEERS- Daily Interface
FR-INT-121	The Solution shall have the ability to process the BENDEX file received from the Social Security Administration (SSA).	Intake --- INT 1.9 --- Send SSI Recipient Information	Intake	H	200.030	The Application Process		Out of the Box	Release 2	Appendix 3, Section 1.1.8.4	<p>Our proposed solution contains built-in interfaces daily interfaces with the SSA's Beneficiary Data Exchange (BENDEX) system receive individual disability (SSDI and RSDI) income information.</p>
FR-INT-122	The Solution shall receive and utilize State Data Exchange (SDX) data needed to: i. Determine if an applicant/member is receiving SSI ii. Determine eligibility	Intake --- INT 1.9 --- Send SSI Recipient Information	Intake	H	200.030	The Application Process		Out of the Box	Release 2	Appendix 3, Section 1.1.8.2	<p>Our proposed solution contains built-in daily interfaces with the SSA's State Data Exchange (SDX) system receive individual Supplementary Security Income (SSI) information.</p>



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FR-INT-123	The Solution shall have the ability to receive information on eligibility information, demographics, appeals, and closures from the SSA.	Intake --- INT 1.9 --- Send SSI Recipient Information	Intake	H	Multiple	The Application Process Appeals	200.030 200.055	Out of the Box	Release 2	Appendix 3, Section 1.1.8.2	Our proposed solution has a number of interfaces (both real-time and batch) with the SSA for eligibility and demographic information, appeals and closures. Our solution has the capability to interface with SSA real-time through the SOLQ-I service, and has batch interfaces through SDX, BENDEX, SVES, LIS, BEERS with the SSA to facilitate the verification/entry of different eligibility/demographic information in the system.
FR-ED-001	The Solution shall have the ability to define security user roles that govern access to functionality.		Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.1.6.1	Our proposed solution provides dynamic access to solution functionality based on the user's assigned roles. Users do not see information that they do not have access to, and these roles are made even more robust by providing for read-write, read-only, or no access to certain role-based functions. Our manage employees module allows admin users to add, update and remove the roles to the users of the worker portal.
FR-ED-002	The Solution shall have the functionality to identify existing individuals in a data registry prior to creating a new record.	Eligibility Determination --- ED 1.1 --- Member Matching	Eligibility Determination	H	015.010	Deemed Newborn		Out of the Box	Release 1	Appendix 3, Section 1.2.1	At the time of member registration, our solution automatically invokes the MCI file clearance service to identify existing individuals. The results of file clearance are displayed to the user in the order of matching score.
FR-ED-003	The Solution shall have the ability to identify full matches, partial matches and no matches according to criteria defined by the State.	Member Matching --- ED 1.1.1 --- Perform Member Matching	Eligibility Determination	H	TBD	CMS 7- Criteria match (This is not an eligibility policy document, but is one of several inputs related to this requirement.)		Configuration	Release 1	Appendix 3, Section 1.2.1	Based on matching algorithms, our solution provides the capability of identifying full, partial and no matches for individuals. Our solution also provides a matching score using the member match IBM initiate tool for all the results based on the criteria defined by the state. The results are displayed to the user using the File Clearance results screen and is sorted based on the matching score.



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FR-ED-004	The Solution shall have the ability to electronically match and link an individual to an existing record.	Member Matching --- ED 1.1.2 --- Auto Selection of Record	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2.1	Our solution will provide the ability to electronically match and link an individual to an existing record per Tennessee business policy.
FR-ED-005	The Solution shall have the ability to assign a pseudo SSN and pseudo SSN reason for purposes of unique identification of individuals via system interfaces using SSN, when member does not have an SSN.	Member Matching --- ED 1.1.3 --- Manual partial match reconciliation	Eligibility Determination	H	005.020	Enumeration		Out of the Box	Release 1	Appendix 3, Section 1.2.1	Our solution automatically generates a Pseudo SSN when actual SSN is not reported by the user. Pseudo SSN is an internal system generated identifier that can be used for data exchange with external agencies to uniquely identify the individual. Our system can also be configured to add a pseudo SSN reason for the individual
FR-ED-006	The Solution shall allow user roles, as defined by the State, to match and un-match persons based on member matching criteria.	Member Matching --- ED 1.1.3 --- Manual partial match reconciliation	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2.1	Our solution shall allow business roles and privileges set up for case workers to perform match and un-match persons based on member matching criteria. Our solution also provides the capability for users with authorized access to merge two duplicate individuals within the system.
FR-ED-007	The Solution shall have the ability to create a new tracking number for each person that does not exist in their data registry.	Member Matching --- ED 1.1.4 --- Create new tracking key	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2.1	Our solution creates a client ID for every new member established in the system. Every time a member is established, the state's Master Client Index (MCI) is also updated to include this new member. The client ID is created automatically by the system while processing applications from FFM and member portal and also allows the users to create one while processing the paper applications.
FR-ED-008	The Solution shall have the ability to assign a unique tracking number to each person, independent of their	Member Matching --- ED 1.1.5 --- Unique tracking key assigned to each member and	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2.1	Our solution created a new unique tracking number for every new member established in the system. The unique identifier referred to as client ID in our system is associated to a given client and will not change if the member moves from one case to another or if the member belongs to more than one case or application.



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	association to cases or applications.	association to case data									
FR-ED-009	The Solution shall have the ability to determine MAGI Medicaid Household and an FRR Medicaid Household within the same application/case.	Eligibility Determination --- ED 1.2 --- MAGI Household Composition	Eligibility Determination	H	010.015	Household Composition for MAGI		Out of the Box	Release 1	Appendix 3, Section 1.2.2.5	Our NextGen solution provides the capability to contain within a case both MAGI and non-MAGI assistance groups. Our Eligibility Determination Engine is capable of spawning separate eligibility determination processes to determine eligibility for members within these groups.
FR-ED-010	The Solution shall have the ability to calculate MAGI Medicaid household size for each individual in an application.	Eligibility Determination --- ED 1.2 --- MAGI Household Composition	Eligibility Determination	H	Multiple	Unborn Status Household Composition for MAGI	005.030 010.015	Out of the Box	Release 1	Appendix 3, Section 1.2.2.5	Our solution provides the capability to automatically determine household size for MAGI Medical programs based on either tax status rules or relationship rules.
FR-ED-011	The Solution shall have the ability to accept self-attestation of pregnancy and consider it verified when determining eligibility.	Eligibility Determination --- ED 1.2 --- MAGI Household Composition	Eligibility Determination	H	010.015	Household Composition for MAGI		Out of the Box	Release 1	Appendix 3, Section 1.2.2.14	The verification process is also configurable by program to allow for self-attestation for certain types of information such as the attestation of pregnancy for pregnant woman, residency information and immigration / citizenship details when under the reasonable opportunity period for Medicaid.
FR-ED-012	The Solution shall automatically populate reciprocal relationships for both MAGI Medicaid Households and an FRR Medicaid Households.	Eligibility Determination --- ED 1.2 --- MAGI Household Composition	Eligibility Determination	H	010.015	Household Composition for MAGI		Out of the Box	Release 1	Appendix 3, Section 1.2.2.5	In order to make the determination using relationship rules less error prone the system will automatically populate reciprocal relationships when entered by the worker which are then automatically used by eligibility when relationship rules are required. Users also have the ability to check the calculated reverse relationship values using our Relationship Screen.



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FR-ED-013	The Solution shall have the ability to verify all non-financial eligibility requirements for MAGI programs, as defined by the State.	Eligibility Determination	H	Multiple	Child 0-1 MAGI Child 1-5 MAGI Child 6-18 MAGI Presumptive Eligible Pregnant Women Pregnancy MAGI Caretaker Relative MAGI Child Medically Needy	015.015 015.020 015.025 015.030 015.035 015.040 015.045 -	Out of the Box	Release 1	Appendix 3, Section 1.2.2.7	The eligibility non-financial sub-module applies program and category-specific rules to determine whether each individual, and then the entire case, meets additional eligibility criteria dictated by TN policy. For example, for Medicaid, an applicant's residency, citizenship and SSN compliance must be evaluated. This module sets the appropriate notice reasons if an individual or household fails one of the program specific non-financial criteria
FR-ED-014	The Solution shall have the ability to verify applicant data through State data sources and/or Federal data services in hierarchical order according to the State Verification Plan.	Eligibility Determination	H	200.035	Verification		Configuration	Release 1	Appendix 3, Section 1.2.2.14	Our solution has the capability to verify member data with both federal and state sources. Our automatic real time eligibility processing module already has the capability to use a hierarchical approach to verify data using federal and state data sources. The effort remaining would be to configure the verification hierarchy based on the review of the State Verification Plan.



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FR-ED-015	The Solution shall have the ability to verify applicant data through the Federal Data Services Hub.	Eligibility Determination	H	200.035	Verification		Out of the Box	Release 1	Appendix 3, Section 1.2.3.2	The NextGen solution has interfaces built in with the Federal Hub to facilitate automatic verification of member's information. These services are real time and can be invoked either automatically or by the user real time.
FR-ED-016	The Solution shall perform verification of identity with external data sources to include but not limited to SSA and SIEVS.	Eligibility Determination	H	200.035	Verification		Out of the Box	Release 1	Appendix 3, Section 1.2.3.2	Our proposed solution has built-in interfaces with multiple sources as the CMS' Federal Hub, and SSA's SVES and SOLQ-I services to verify member's identity information. Federal Hub and SOLQ-I are real time interfaces which are either invoked by the system automatically or by the user on demand using the Person Data Collection screen. SVES is a daily batch interface that is used to verify the information.
FR-ED-017	The Solution shall perform verification of attested citizenship with external databases, to include but not limited to SSA data sources.	Eligibility Determination	H	005.010	Citizenship and Immigration		Out of the Box	Release 1	Appendix 3, Section 1.2.3.2	Our proposed solution has built-in interfaces with multiple sources as the CMS' Federal Hub, and SSA's SVES and SOLQ-I services to verify member's citizenship information. Federal Hub and SOLQ-I are real time interfaces which are either invoked by the system automatically or by the user on demand using the demographics data collection screen. SVES is a daily batch interface that is used to verify the information. In addition, our solution contains interfaces with the Federal Data Services Hub's Verify Lawful Presence (VLP) service and the U.S. Department of Homeland Security's (DHS) Systematic Alien Verification for Entitlements (SAVE) program to verify Immigration Status/Lawful Presence when relevant.



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FR-ED-018	The Solution shall perform verification of attested immigration status with external databases, to include but not limited to DHS (SAVE) data source.	Eligibility Determination --- ED 1.3 --- MAGI Non-Financial Verification	Eligibility Determination	H	005.010	Citizenship and Immigration		Out of the Box	Release 1	Appendix 3, Section 1.2.3.4	The NextGen solution contains interfaces with the Federal Data Services Hub's Verify Lawful Presence (VLP) service and the U.S. Department of Homeland Security's (DHS) Systematic Alien Verification for Entitlements (SAVE) program to verify Immigration Status/Lawful Presence when relevant. Both SAVE and VLP are time interfaces which are either invoked by the system automatically or by the user on demand using the immigration data collection screen.
FR-ED-019	The Solution shall perform verification of residency using State of TN internal and/or external data sources.	Eligibility Determination --- ED 1.3 --- MAGI Non-Financial Verification	Eligibility Determination	L	200.035	Verification		Custom - Moderate	Release 2	Appendix 3, Section 1.2.3.7	Our NextGen solution in other States has implemented interfaces with the State Vital Records system to verify citizenship and residency information for individuals. Our solution will customize this interface according to State of Tennessee specified requirements and interface file formats.
FR-ED-020	The Solution shall have the ability to queue requests for information when information providers, including FDSH, are not available or otherwise return an error.	Eligibility Determination --- ED 1.3 --- MAGI Non-Financial Verification	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2.3.1	The NextGen interfaces module has the capability to queue requests that fail the first time. The solution has the capability to invoke the electronic interfaces automatically in such instances based on configurable timeframes and attempts.
FR-ED-021	The Solution shall have the ability to configure the number of information request attempts automatically made over a period of time.	Eligibility Determination --- ED 1.3 --- MAGI Non-Financial Verification	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2.3.1	The NextGen interfaces module has the capability to queue requests that fail the first time. The solution has the capability to set a specific number for re-try attempts to invoke the electronic interfaces automatically in such instances with a threshold on the number of attempts. Once the threshold is reached, our solution stops making the fail over calls and allows the user to verify the information manually.



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FR-ED-022	The Solution shall generate a configurable listing of verification proof documents for each type of verification.	Eligibility Determination --- ED 1.3 --- MAGI Non-Financial Verification	Eligibility Determination	H	200.035	Verification		Out of the Box	Release 1	Appendix 3, Section 1.2.2.14	If electronic verification cannot be achieved, our solution integrates the verification process with the Notices Module, automatically triggering a Request for Verification and provides the member a dynamic list of the acceptable verifications for the information requested. The amount of time the member has to respond to the verification is based on program and type of verification. The worker can track the number of times a verification request has been made by reviewing the historical correspondence sent to the member
FR-ED-023	The Solution shall provide the ability to identify the appropriate verification items based on program criteria and application data.	Eligibility Determination --- ED 1.3 --- MAGI Non-Financial Verification	Eligibility Determination	H	200.035	Verification		Out of the Box	Release 1	Appendix 3, Section 1.2.2.14	Our proposed solution supports the ability to identify verification requirements based on type of data per program. The solutions integrates electronic verification when applicable and allows self-attestation for certain types of information such as the attestation of pregnancy for pregnant woman, residency information and immigration / citizenship details when under the reasonable opportunity period for Medicaid.
FR-ED-024	The Solution shall allow user roles, as defined by the State, to view documents submitted to verify data that could not be validated through data sources.	Eligibility Determination --- ED 1.3 --- MAGI Non-Financial Verification	Eligibility Determination	H	200.035	Verification		Out of the Box	Release 1	Appendix 3, Section 1.2.2.14	When an individual returns a verification based on the notice generated requesting proof the worker, our system will automatically generate a task for the user. The users will then be able to mark that verification as received and update the verification source based on the information provided by the member Our solution also provides the Electronic Case File (ECF) Screen that allows workers to view either the documents already part of the member case file or the documents the member submitted as a result of the verification notice sent to them. The ECF screen is available to the user on all of the data collection screens.



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FR-ED-025	The Solution shall allow applicants/members, as defined by the State, to submit verification materials electronically, by using a mobile device to send a photograph of the document using MMS (Multi Media Message) or email.	Eligibility Determination	H			The existing eligibility policy documents describe the channels by which applicants and members can submit applications. It is anticipated that this new capability will eventually also be included in policy documents.	Configuration	Release 2	Appendix 3, Section 1.2.2.14	The solutions will allow members to submit required verifications electronically through the self-service portal using the web and mobile capabilities. Our mobile solution allows members to take a picture of the verification document and upload the same either through our native mobile application or by using the member portal on their mobile phones. Our solution provides the capability for members to identify a document type while uploading and tasks are created for the users with that specific document type.
FR-ED-026	The Solution shall have the ability to verify the date of birth of the applicant.	MAGI Non-Financial Verification --- ED 1.3.1 --- Verify Enumeration	H	5.025	Age		Out of the Box	Release 1	Appendix 3, Section 1.2.2.14	Our solution provides the capability for the workers to verify the member's data of birth using FDSH or SOLQ-1 electronic interfaces. For clients who cannot be verified using electronic data sources our solution provides the capability to verify manually using documents submitted and record the same in our worker portal
FR-ED-027	The Solution shall have the ability to verify that the applicant possess a valid Social Security Number (SSN) or proof of application for a SSN, unless they meet an exception.	MAGI Non-Financial Verification --- ED 1.3.1 --- Verify Enumeration	H	005.020	Enumeration		Out of the Box	Release 1	Appendix 3, Section 1.2.2.14	Our worker portal's data collection module captures if the application possess a valid SSN. For members who do not have an SSN, our solution automatically queues up further screens to capture if they have applied for one and any exception reasons for not possessing an SSN. These questions are incorporated in our rules engine to determine eligibility for members.



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FR-ED-028	The Solution shall interface with the FDSH for DHS/SAVE immigration status verification.	MAGI Non-Financial Verification --- ED 1.3.1 --- Verify Enumeration	Eligibility Determination	H	005.010	Citizenship and Immigration		Out of the Box	Release 1	Appendix 3, Section 1.2.3.4	As defined in requirement FR-ED-018 , The NextGen solution contains interfaces with the Federal Data Services Hub's Verify Lawful Presence (VLP) service and the U.S. Department of Homeland Security's (DHS) Systematic Alien Verification for Entitlements (SAVE) program to verify Immigration Status/Lawful Presence when relevant. Both SAVE and VLP are real time interfaces which are either invoked by the system automatically or by the user on demand using the immigration data collection screen.
FR-ED-029	The Solution shall have the ability to verify that the applicant is a U.S. Citizen, U.S. National, or eligible non-citizen.	MAGI Non-Financial Verification --- ED 1.3.2 --- Verify Citizenship/Qualified Non-Citizen Status	Eligibility Determination	H	005.010	Citizenship and Immigration		Out of the Box	Release 1	Appendix 3, Section 1.2.3.2	As defined in requirement FR-ED-017, Our proposed solution has built-in interfaces with multiple sources as the CMS' Federal Hub, and SSA's SVES and SOLQ-I services to verify member citizenship information. Federal Hub and SOLQ-I are real time interfaces which are either invoked by the system automatically or by the user on demand using the demographics data collection screen. SVES is a daily batch interface that is used to verify the information.
FR-ED-030	The Solution shall have the ability to accept the self-attestation of citizenship or immigration, for the purpose of establishing a reasonable opportunity period.	MAGI Non-Financial Verification --- ED 1.3.2 --- Verify Citizenship/Qualified Non-Citizen Status	Eligibility Determination	H	005.010	Citizenship and Immigration		Out of the Box	Release 1	Appendix 3, Section 1.2.2.14	Our solution provides the ability to allow for self-attestation of immigration / citizenship details and thereby providing the reasonable opportunity period for Medicaid. Our Data collection screens provides the capability to document a value namely 'Client Statement' that serves as a self attestation of the member.
FR-ED-031	The Solution shall have the ability to validate that the applicant is a resident of Tennessee.	MAGI Non-Financial Verification --- ED 1.3.3 --- Verify Residency	Eligibility Determination	H	005.005	State Residence		Out of the Box	Release 1	Appendix 3, Section 1.2.2.14	The worker portal data Collection module captures the information regarding residency status of members Our system will be customized to verify the data with identified verification source from State of Tennessee.
FR-ED-032	The Solution shall have the ability to accept self-attestation of residency status.	MAGI Non-Financial Verification --- ED 1.3.3 --- Verify Residency	Eligibility Determination	H	005.005	State Residence		Out of the Box	Release 1	Appendix 3, Section 1.2.2.14	For members who cannot be verified using the state of Tennessee data source, our solution has the ability to accept self-attestation of residency status and provide eligibility. Our Data Collection screens capture a value namely 'Client Statement' for residency verification and our rules engine provides the capability to accept this value for eligibility determinations.



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FR-ED-034	The Solution shall perform verification of attested non-incarceration status with external data, including but not limited to: TN Dept. of Corrections file match and/or database.	MAGI Non-Financial Verification --- ED 1.3.4 --- Verify Incarceration	Eligibility Determination	H	N/A	State of TN Verification Plan	Not in eligibility policy documents, but updated Verification Plan is input.	Custom - Easy	Release 2	Appendix 3, Section 1.2.3.3	Deloitte's NextGen solution has multiple interfaces built in to facilitate automatic verification of prisoner data and incarceration status. The Federal Hub's SSA Composite service, in addition to SSN, Date of Birth and Citizenship Status, also provides Incarceration information. In addition to the real-time SSA Composite service, the solution also offers verification of incarceration through the SVES interface that operates as part of the nightly batch process. We will also customize our solution to interface data with the TN Dept of Corrections to identify incarcerated members.
FR-ED-035	The Solution shall have the capability to request and store results of verification of individual's coverage and access to State Employee Health Coverage via external sources, including but not limited to the State Benefit Administration.	MAGI Non-Financial Verification --- ED 1.3.5 --- Verify State Employee Health Coverage and Access	Eligibility Determination	H	025.005	CoverKids		Custom - Easy	Release 1	Appendix 3, Section 1.2.3.8	The NextGen solution in other States has implemented similar interfaces with the State Benefit Administration to identify and verify individuals who might be receiving benefits under the State Health Benefit Plans. Our solution will customize this interface according to State specified requirements and interface file formats.
FR-ED-036	The Solution shall have the ability to verify an individuals entitlement and/or enrollment in Medicare Part A with the Social Security Administration by social security number.	MAGI Non-Financial Verification --- ED 1.3.5 --- Verify State Employee Health Coverage and Access	Eligibility Determination	H	200.035	Verification		Out of the Box	Release 2	Appendix 3, Section 1.2.3.9	The NextGen solution provides verification of Medicare Part A/Part B through two sources – the State Online Query-I (SOLQ-I) real-time we service and the Beneficiary Data Exchange (BENDEX) batch interface with the Social Security Administration. Anytime during the intake/case change/case review/renewal process, the worker can request Medicare Part A/Part B information through the SOLQ-I interface, which will send a real-time request to SSA and populate the response in a screen for the worker to verify. The BENDEX process operates as part of the nightly batch process and sends out a request for all individuals eligible for Medicaid to the BENDEX system to check for Medicare enrollment in addition to receipt of Title II Income.



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FR-ED-037	The Solution shall have the ability to verify that the individual was in DCS custody and received TennCare Medicaid on his or her 18th birthday.	MAGI Non-Financial Verification --- ED 1.3.6 --- Verify Former Foster Care	Eligibility Determination	H	015.005	Former Foster Care Children up to Age 26		Custom - Easy	Release 2	Appendix 3, Section 1.2.2.14	Our solution is currently capable of receiving information from a DCS agency via batch files and has the ability to use the information to verify if the members are receiving TennCare Medicaid on their 18th birthday.
FR-ED-038	The Solution shall provide capability to perform eligibility determination calculations based on any historic/current stored value tables.	Eligibility Determination --- ED 1.4 --- MAGI Household Verification	Eligibility Determination	H	010.010	Income Overview		Out of the Box	Release 1	Appendix 3, Section 1.2.2.6	The solution has the capability to determine historical months of eligibility. Any applicable standards including historical case data, FPL limits for the historical months are contained in reference tables which are versioned by date in order to allow for appropriate calculations for the historical period.
FR-ED-039	The Solution shall provide the capability to store multiple value tables, including but not limited to: i. Federal Poverty Level (FPL) Reference Tables ii. COLA Reference Tables iii. SIS Reference Tables	Eligibility Determination --- ED 1.4 --- MAGI Household Verification	Eligibility Determination	H	Multiple	Overview of Financial Eligibility Income Overview	010.005 010.010	Out of the Box	Release 1	Appendix 3, Section 1.2.2.6	NextGen solution uses multiple reference tables that store values applicable for a date range. The Eligibility module access relevant reference table value for each month being evaluated. The reference tables are versioned so that different standards can be applied to different months within the same eligibility determination. For example when the FPL values change effective March we are able to update the reference table version to apply the new income limits from March onward and the old limits if eligibility is re-determined prior to March. Our solution provides multiple value tables for FPL reference tables, COLA Reference tables and also SIS reference tables
FR-ED-040	The Solution shall have the ability to verify all financial eligibility requirements for MAGI programs, as defined by the State.	Eligibility Determination --- ED 1.4 --- MAGI Financial Verification	Eligibility Determination	H	Multiple	Verification Child 0-1 MAGI Child 1-5 MAGI Child 6-18 MAGI Pregnancy MAGI Caretaker Relative MAGI	200.035 015.015 015.020 015.025 015.035 015.040 200.015	Out of the Box	Release 1	Appendix 3, Section 1.2.2.14	The solution has the ability to verify all financial eligibility requirements using federal/state data sources and/or documents provided by the members



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						Application for Other Program Benefits					
FR-ED-041	The Solution shall perform verification of attested income with external databases, to include but not limited to IRS, SSA (for SSI and SSDI), TN Unemployment Data, Quarterly Wage Data and The Work Number database.	MAGI Financial Verification --- ED 1.4.1 --- Annual Income Verification	Eligibility Determination	H	Multiple	Verification SSI Cash Recipient	200.035 115.025 Any interaction with the IRS implies the use of FTI data.	Custom - Easy	Release 1	Appendix 3, Section 1.2.3.6	<p>Our NextGen solution provides the following services to verify attested income with external databases</p> <p>FSDH- IRS - Real time service to verify annual income SSA -SOLQ I- Real time service to verify SSI and RSDI income Work Number - Real time Interface to verify wages</p> <p>Our solution will be customized to develop a new interface with the TN Department of Labor to verify the following information.</p> <p>Quarterly Wage TN Unemployment Data</p>



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FR-ED-042	The Solution shall calculate the reasonable compatibility of attested total monthly income to external databases income in accordance with applicable federal regulations and State of TN business rules.	MAGI Financial Verification --- ED 1.4.2 --- Compare attested income to annual income Non-MAGI Financial Verification --- ED 1.11.1 --- Current Income Verification	Eligibility Determination	H	010.035	Reasonable Compatibility and Verification		Out of the Box	Release 1	Appendix 3, Section 1.2.2.9	As defined in requirement FR-ED-041 our solution interfaces with multiple data sources to verify income. The eligibility module will perform a reasonable compatibility determination when processing eligibility for Medical in an effort to verify income electronically. If the income returned from clearances such as the Federal Data Services Hub, the Work Number is within a defined threshold percentage from the member's attested income then the system will consider that income as verified. Our solution also has the capability to configure the thresholds using a reference table, thereby allow state users to make the changes with ease.
FR-ED-043	The Solution shall have the ability to accept the self-attestation of income when applying for presumptive eligibility.	MAGI Financial Verification --- ED 1.4.2 --- Compare attested income to annual income	Eligibility Determination	H	015.030	Presumptive Eligible Pregnant Women		Out of the Box	Release 2	Appendix 3, Section 1.2.2.10	When determining presumptive eligibility, the member attested income reported as part of the application will be used for the eligibility determination. The NextGen solution provides presumptive coverage through the end of the month following the month in which the eligibility determination was made or the day on which a decision is made on a filed Medicaid application.
FR-ED-044	The Solution shall be able to verify the income level of the individual based on Household composition.	MAGI Financial Verification --- ED 1.4.3 --- Verify Current Income Sources	Eligibility Determination	H	200.035	Verification		Out of the Box	Release 1	Appendix 3, Section 1.2.2.8	This EDBC sub-module uses the income reported for the household, the individuals whose income should be included for the group (including disqualified individuals) including earned income, unearned income, self-employment income, and deemed income to establish a monthly income budget for the household
FR-ED-045	The Solution shall have the ability to verify individual countable income and excluded income for each household member.	MAGI Financial Verification --- ED 1.4.3 --- Verify Current Income Sources	Eligibility Determination	H	010.020	Countable and Excluded Income		Out of the Box	Release 1	Appendix 3, Section 1.2.2.8	The solution provides the ability to verify all income reported on the case whether countable or excluded income. The verification rules for income is based on the type of income and the program being determined.
FR-ED-046	The Solution shall have the ability to designate that medical records and/or medical bills have been verified.	Eligibility Determination --- ED 1.5 --- Medical Records and Medical Bills Assessment	Eligibility Determination	H	Multiple	Emergency Medical Services Verification	020.005200.035	Out of the Box	Release 2	Appendix 3, Section 1.2.2.11	Our Data Collection module captures details on member expenses including medical bills. The module also has the capability for the worker to capture the verification of medical bills. If a worker cannot verify the information our solution provides the capability for the worker to mark the medical bill as 'Not verified' resulting in a notice being sent to the member to provide the verification documents.



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FR-ED-047	The Solution shall have the ability to calculate medically needy spend down.	Eligibility Determination --- ED 1.5 --- Medical Records and Medical Bills Assessment	Eligibility Determination	H	010.050	Medically Needy Spend Down		Out of the Box	Release 2	Appendix 3, Section 1.2.2.11	When a member's income is above the resource or income limit for a program the eligibility module has the capability to cascade into a spenddown type of assistance. The eligibility module will automatically calculate the amount the individual is over either the resource or income limit and determine the spenddown amount. Once the spenddown amount has been determined the system will use the verified medical expenses incurred by the household to try and meet spenddown and establish eligibility from the spenddown met date.
FR-ED-048	The Solution shall have the ability to calculate carry-forward balance.	Eligibility Determination --- ED 1.5 --- Medical Records and Medical Bills Assessment	Eligibility Determination	H	010.050	Medically Needy Spend Down		Out of the Box	Release 2	Appendix 3, Section 1.2.2.12	As part of the spenddown calculation if there are medical bills that are not used in their entirety they will be carried forward to meet future spenddown months. The system is also configurable to stop using a medical expense as of a certain date or after a certain period of time. Based on the type of medical expenses, like Medicare premiums, the system can be configured to make expenses recurring so the same amount is budgeted each month.
FR-ED-049	The Solution shall have the ability to indicate which verification documents have already been provided within the allotted time period.	Eligibility Determination --- ED 1.6 --- Assess Verification Information	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2.2.14	When an individual returns a verification based on the notice generated requesting proof the worker will mark that verification as received and update the verification source based on the information provided by the member. If there is still additional information that is required the caseworker can track additional verifications through the updated request page to see which verifications have yet to be received.
FR-ED-050	The Solution shall have the ability to automatically update a case when verification items are received.	Eligibility Determination --- ED 1.6 --- Assess Verification Information	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2.2.14	Our solution has the ability to automatically update verification information as they are received. When the verification information is received, our solution automatically updates the information and also creates eligibility triggers to automatically run and process eligibility per Tennessee business policy.



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FR-ED-051	The Solution shall have the ability to designate that verification information is missing.	Eligibility Determination --- ED 1.6 --- Assess Verification Information	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2.2.14	If there is still additional information that is required the caseworker can track additional verifications through the updated request page to see which verifications have yet to be received. If an individual has not provided all required documentation during the required time period when rerunning eligibility their benefits will be denied or terminated based on the failure to provide required information. If the caseworker determines that there is a valid reason for additional time to be allotted to the member to comply the system will provided the option to extend the verification due dates.
FR-ED-053	The Solution shall provide the ability to determine how many times a verification attempt was made and display the count.	Eligibility Determination --- ED 1.7 --- Request for Verification Notice	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2.2.14	The worker can track the number of times a verification request has been made been made by reviewing the historical verification correspondence sent to the member.
FR-ED-054	The Solution shall have the ability to configure the number of times a verification attempt is made.	Eligibility Determination --- ED 1.7 --- Request for Verification Notice	Eligibility Determination	H				Configuration	Release 1	Appendix 3, Section 1.2.2.14	Our solution has the capability to configure the number of times a verification attempt can be made.
FR-ED-055	The Solution shall enable automated Verification Requests to be generated for selected financial institutions and pre-populated with the applicant/member information at the state's request.	Eligibility Determination --- ED 1.7 --- Request for Verification Notice	Eligibility Determination	L				Custom - Easy	Release 2	Appendix 3, Section 1.2.2.14	The NextGen solution has the capability to interface with any third party tool/software identified by the State. Requests for verification of resources would be made by the system to the third party software's database that would in turn route the requests to financial institutions.



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FR-ED-056	The Solution shall notify users when additional verification documents are necessary to complete the eligibility determination process.	Request for Verification --- ED 1.7.1 --- Request for Verification Notice	Eligibility Determination	H	200.035	Verification		Out of the Box	Release 1	Appendix 3, Section 1.2.2.14	If electronic verification cannot be achieved, our solution integrates the verification process with the Notices Module, automatically triggering a Request for Verification and provides the member a dynamic list of the acceptable verifications for the information requested. Our solution also provides the capability to automatically pend the program in such instances and allows the users to see the reason for pending the application on the eligibility summary screen.
FR-ED-057	The Solution shall allow user roles, as defined by the State, to re-generate notices with original content.	Request for Verification Notice --- ED 1.7.1.1 --- Retrieve notice from Digital Repository Post-Eligibility Verifications --- CM 1.2.7 --- Request for Verification Notice	Notices	H	200.040	Eligibility Determination		Out of the Box	Release 1	Appendix 3, Section 1.2.4.5	Our proposed NextGen solution provides the ability to search and view Notices that were sent to the members in the past. The case worker will have the ability to search for historic correspondence using multiple criteria including Case Number, Client ID and Print date. The case worker will also, be able to retrieve a selected correspondence with the original content from a document management system. If a client request that the historic correspondence be sent to them again, the worker can reprint the historic correspondence using the 'Reprint' functionality. The correspondence will be sent by mail to the address in file for that client.
FR-ED-058	The Solution shall generate notices and dynamically populate the text in accordance with State and Federal Program rules, policy, administrative procedures and State design.	Request for Verification Notice --- ED 1.7.1.2 --- Identify Notice Triggers and variable content	Eligibility Determination	H	200.040	Eligibility Determination		Configuration	Release 1	Appendix 3, Section 1.2.4.1	The proposed NextGen solution comes with a framework that allows for triggering and generating notices using HP Exstream. The configuration activities that remain would be 1. Build the Tennessee specific notices and look and feel, 2. the integration with HP Exstream to pass case/member specific details to the notice and 3. any notice triggers that are associated with new notices added. We are basing our fit rating on the notices universe provided by the state in this RFQ which we have included in Appendix 4.



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FR-ED-059	The Solution shall allow user roles, as defined by the State, to manually trigger notices.	Request for Verification Notice --- ED 1.7.1.2 --- Identify Notice Triggers and variable content	Eligibility Determination	H	200.040	Eligibility Determination		Out of the Box	Release 1	Appendix 3, Section 1.2.4.5	The proposed NextGen solution has a 'Generate Manual Correspondence' module which will allow case workers to trigger correspondences manually. The case worker can pick from a list of templates. The templates will be auto populated with information that is available in the system for a case/member. The system will also, allow user to provided additional information that goes on the template. The case worker will be able to preview the correspondence before sending it to the client.
FR-ED-060	The Solution shall produce notices in English and Spanish, in addition to other languages as defined by the State.	Request for Verification Notice --- ED 1.7.1.2 --- Identify Notice Triggers and variable content	Eligibility Determination	H	200.010	Rights and Responsibilities		Out of the Box	Release 1	Appendix 3, Section 1.2.4.2	The proposed NextGen solution supports the generation of correspondence in English and Spanish, allowing the State the flexibility to address the varying needs of a diverse member population. The system will automatically identify the 'Primary correspondence language' chosen by the head of household and generate the correspondence in English or Spanish accordingly. Notice templates are built following a multi-lingual template providing capability to add additional languages at a later date, when known. In addition, the solution supports taglines in the required language added to the notice which provides further instruction to the member/applicant.
FR-ED-061	The Solution shall allow user roles, as defined by the State of TN, to design and create notice templates.	Request for Verification Notice --- ED 1.7.1.2 --- Identify Notice Triggers and variable content	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2.4.1	The NextGen solution allows the users to create new notice templates with ease using the HPX notice Generation Tool.
FR-ED-062	The Solution shall allow user roles, as defined by the State of TN, to edit existing notices.	Request for Verification Notice --- ED 1.7.1.2 --- Identify Notice Triggers and variable content	Eligibility Determination	M				Configuration	Release 1	Appendix 3, Section 1.2.4.5	The proposed solution allows users to edit and update existing notice templates. The solution also allows users to specify areas that are static and those that will be dynamically populated.
FR-ED-063	The Solution shall allow user roles, as defined by the State of TN, to manually compose a notice.	Request for Verification Notice --- ED 1.7.1.2 --- Identify Notice Triggers and variable content	Eligibility Determination	L				Out of the Box	Release 1	Appendix 3, Section 1.2.4.5	The NextGen solution provides the out of box functionality for the user to manually compose a notice using the Generate Manual Correspondence screens. This screen is used when the users want to generate a notice to the member that is not triggered by any automated system actions.



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FR-ED-064	The Solution shall allow user roles, as defined by the State of TN, to review a notice prior to its production.	Request for Verification Notice --- ED 1.7.1.2 --- Identify Notice Triggers and variable content	Eligibility Determination	L				Out of the Box	Release 1	Appendix 3, Section 1.2.4.5	The NextGen solution has a 'Pending Correspondence' screen which will allow case worker to review/preview correspondence before it is sent to the member. The notices are sent to the members by our nightly batch process and it provides an opportunity for the workers to review before it is being actually sent.
FR-ED-065	The Solution shall generate notices and forms pre-populated with case data based on triggers approved by the State.	Request for Verification Notice --- ED 1.7.1.2 --- Identify Notice Triggers and variable content	Eligibility Determination	H				Configuration	Release 1	Appendix 3, Section 1.2.4.6	The proposed NextGen solution comes with a framework that allows for triggering and generating notices using HP Exstream. The configuration activities that remain would be 1. Build the Tennessee specific notices and look and feel, 2. the integration with HP Exstream to pass case/member specific details to the notice and 3. any notice triggers that are associated with new notices added. We are basing our fit rating on the notices universe provided by the state in this RFQ which we have included in Appendix 4.
FR-ED-066	The Solution shall generate notices at the applicant/member/case level.	Request for Verification Notice --- ED 1.7.1.3 --- Generate Notice Record	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2.4.2	The NextGen solution will trigger notices at the applicant, member and case level as per Tennessee business policy.
FR-ED-067	The Solution shall have the ability to electronically store generated notices.	Request for Verification Notice --- ED 1.7.1.4 --- Store Notice in Digital Repository	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2.4.6	The proposed NextGen solution stores all the correspondence generated by the system or the worker in the states IBM FileNet Electronic Content Management System (ECM). NextGen solution utilizes the FileNet's real time service capabilities to store the notices when they are printed either as a Local print or through the nightly batch process. The Document Management module in the system allows the user to retrieve the documents stored in the ECM based on different search criteria.
FR-ED-068	The Solution shall allow user roles, as defined by the State, to suppress notices on a applicant/member/case-level basis.	Request for Verification Notice --- ED 1.7.1.5 --- Send Notices to Queue	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2.4.5	In proposed NextGen solution, case worker will be able to review the pending correspondence using the preview functionality before it is sent to the print vendor. If the worker feels that the information on the notice is not correct, they can suppress the correspondence using the options provided on the Pending Correspondence screen and prevent it from being mailed to the member.



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FR-ED-069	The Solution shall allow user roles, as defined by the State, to suppress notices on a program-level basis.	Request for Verification Notice --- ED 1.7.1.5 --- Send Notices to Queue	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2.4.5	The NextGen solution provides the ability for case workers to suppress or un-suppress notices generated to members on a program level or case level or client level. The pending correspondence screen displays all the pending notices for the case and all members associated with the case. Users can select one or more than one notice from the screen and suppress them using the Suppress options provided on the screen.
FR-ED-070	The Solution shall have the ability to generate a file of all notices to be printed and mailed from a centralized location in accordance with State design and rules.	Request for Verification Notice --- ED 1.7.1.5 --- Send Notices to Queue	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2.4.2	The proposed NextGen solution will generate a consolidated PDF or multiple consolidated PDFs for all the correspondence generated during the business day. The PDF/PDFs will be transferred to the print vendor for printing via a SFTP transfer every night.
FR-ED-071	The Solution shall have the ability to distribute notice-related alerts via email.	Request for Verification Notice --- ED 1.7.1.6 --- Send Email Hearing --- AP 1.2.9 --- Denial of Continuance Order / Notice Petition --- AP 1.3.2 --- Notify Appellant of Petition --- AP 1.3.11 --- Distribute Petition Receipts / Orders	Alerts	H				Out of the Box	Release 1	Appendix 3, Section 1.2.4.3	The proposed NextGen solution supports 'Go Green' functionality, where the members will be able opt out of paper notifications and opt in to receive notifications only by email. Members will be able to change the 'Go Green' preference any time they wish via the member portal.
FR-ED-072	The Solution shall have the ability to identify when an email has not been successfully delivered.	Request for Verification Notice --- ED 1.7.1.7 --- Detect System Non-delivery	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2.4.3	If a opted for 'email only option' and member's email comes back as an invalid email or undeliverable, the system will be able to track such failures. Our solution provides the ability to generate this data on an ad-hoc basis and can be used by the state workers to contact the members or update their preferences in the worker portal. Returned email will result in default back to paper notices.



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FR-ED-073	The Solution shall have the ability to print a notice.	Request for Verification Notice --- ED 1.7.1.8 --- Send Mail	Eligibility Determination	H	200.040	Eligibility Determination		Out of the Box	Release 1	Appendix 3, Section 1.2.4.5	The proposed NextGen solution allows the caseworker to 'Central Print' or 'Local Print' correspondence. The 'Central Printed' correspondence will be added to the mailing queue. At the end of the business day all the correspondences in the mailing queue will be merged together as a single PDF file and sent to print vendor. The correspondence can also be printed on-demand and in real time at a printer in worker's office using the 'Local Print' functionality.
FR-ED-074	The Solution shall apply USPS bar-coding to all mailed documents.	Request for Verification Notice --- ED 1.7.1.8 --- Send Mail Hearing --- AP 1.2.9 --- Denial of Continuance Order / Notice Petition --- AP 1.3.2 --- Notify Appellant of Petition Petition --- AP 1.3.11 --- Distribute Petition Receipts / Orders	Notices	H				Out of the Box	Release 1	Appendix 3, Section 1.2.4.2	The proposed NextGen solution provides the capability to generate and apply barcodes on the correspondence sent to members. The barcodes generated will be in accordance with USPS standards to sort and scan for mailing. The information on the bar codes will be customized such that they contain case/member information. This information will be used to trigger tasks when the member returns the correspondence with information filled in it.
FR-ED-075	The Solution shall have the ability to bundle and send out multiple notices and/or send out notices with corresponding forms together.	Request for Verification Notice --- ED 1.7.1.8 --- Send Mail	Eligibility Determination	H				Configuration	Release 1	Appendix 3, Section 1.2.4.2	NextGen solution has the ability to consolidate notices by recipient prior to sending to the print facility. This includes attachments that may be tied to specific notices. What is remaining to be done is a configuration activity to tie notices and respective attachments so that they can be consolidated during generation.
FR-ED-076	The Solution shall have the ability to identify whether notice was auto-generated or worker-generated.	Request for Verification Notice --- ED 1.7.1.8 --- Send Mail	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2.4.5	The proposed NextGen solution will record if a correspondence is system generated or generated by a user using the View History Correspondence screen. Additionally the users can search for all the correspondences that were both created by an user or by an automated process.



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FR-ED-077	The Solution shall have the ability to auto-correct mailing address to be compliant with USPS guidelines.	Request for Verification Notice --- ED 1.7.1.8 --- Send Mail	Eligibility Determination	H			The State currently utilizes QAS for address verification.	Configuration	Release 1	Appendix 3, Section 1.2.4.4	The proposed NextGen solution has built in intelligence to identify invalid addresses so that the correspondences are not mailed to an invalid address. When the mailing address data is loaded into the data collection module the system will provide the worker with an option to validate the mailing address. The validate functionality will make a web service call to state's QAS address validation services and return with potential match when a mailing address is not correct.
FR-ED-081	The Solution shall have the ability to configure verification time frames and verifications by program.	Request for Verification --- ED 1.7.3 --- Applicant/Member Sends Information	Eligibility Determination	H	200.035	Verification		Out of the Box	Release 1	Appendix 3, Section 1.2.2.14	The verification time period is configurable based on the type of verification that is required. For example the solution can be configured to request 10 days for income verification or 90 days for citizenship.
FR-ED-082	The Solution shall have the ability to allow verification times to be extended, as defined by the State.	Request for Verification --- ED 1.7.3 --- Applicant/Member Sends Information Post-Eligibility Verifications --- CM 1.2.9 --- Member Sends Information	Case Maintenance	H				Out of the Box	Release 1	Appendix 3, Section 1.2.2.14	Our solution provides the capability for authorized users to extend verification dates for members who have valid reason for additional time. Our solution captures the reason for extension using the Pending verification Checklist screen in Data Collection module.
FR-ED-083	The Solution shall provide the ability to deny or terminate applications when verification time frames have lapsed.	Request for Verification --- ED 1.7.3 --- Applicant/Member Sends Information Post-Eligibility Verifications --- CM 1.2.9 --- Member Sends Information	Case Maintenance	H	200.035	Verification		Out of the Box	Release 1	Appendix 3, Section 1.2.2.14	Our solution provides the capability to automatically deny or terminate members based on the failure to provide required documentation that is needed for processing eligibility.
FR-ED-086	The Solution shall have the ability to determine eligibility based on a configurable list of business rules defined by the State.	Eligibility Determination --- ED 1.8 --- Determine Eligibility	Eligibility Determination	H	Multiple	Too numerous to list. Every policy will generate specific		Out of the Box	Release 1	Appendix 3, Section 1.2.2.20	The solution has a configurable rules-based engine to deliver quick and accurate eligibility determination functionality for its users. A rules-based engine enables a streamlined automation of business logic and simplifies the process of managing and implementing ongoing changes.



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					detail business rules.					
FR-ED-087	The Solution shall retain access to every production-released version of the eligibility rules, identified by version dates, and allow authorized user roles, as specified by the State, to process eligibility determinations using any current or former version of the rules, by specific date, as necessary.	Eligibility Determination --- ED 1.8 --- Determine Eligibility	Eligibility Determination	H			Out of the Box	Release 1	Appendix 3, Section 1.2.2.20	Our proposed solution leverages an off the shelf rules engine that provides version controlled rules. The system maintains rules for reference so that eligibility rules can be processed for any time period.
FR-ED-088	The Solution shall provide version control of the business rules.	Eligibility Determination --- ED 1.8 --- Determine Eligibility	Eligibility Determination	H			Out of the Box	Release 1	Appendix 3, Section 1.2.2.20	The solutions has version controlled business rules that are configurable by program.
FR-ED-089	The Solution shall provide locking mechanisms (e.g., check-in/check-out).	Eligibility Determination --- ED 1.8 --- Determine Eligibility	Eligibility Determination	H			Out of the Box	Release 1	Appendix 3, Section 1.2.2.20	Our solution provides the capability to lock the rules while being modified by the user. This prevent others users from accessing the same and overlay the changes made.
FR-ED-090	The Solution shall provide the capability to roll back to prior version of rule.	Eligibility Determination --- ED 1.8 --- Determine Eligibility	Eligibility Determination	H			Out of the Box	Release 1	Appendix 3, Section 1.2.2.20	The solution has a version based rules engine and all rules are maintained for reference so that eligibility rules can be processed for any time period. Our version control software maintain the version of all the rules and provides the capability for a user to user a older version of the rule if necessary. The old version of the rules are then checked into our version control tool as the most updated rule.
FR-ED-091	The Solution shall provide simulation tools to perform what-if analytics with runtime data to analyze the behavior	Eligibility Determination --- ED 1.8 --- Determine Eligibility	Eligibility Determination	H			Out of the Box	Release 1	Appendix 3, Section 1.2.2.20	The solution has a simulation and test modes to allow for testing of rules behavior under various scenarios. Rule changes can be tested independently and as an interconnected flow.



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	of rules independently and in conjunction with other rules.										
FR-ED-092	The Solution shall have the ability to determine eligibility for MAGI.	Determine Eligibility --- ED 1.8.1 --- Perform Eligibility Determination Process	Eligibility Determination	H	Multiple	Overview of Financial Eligibility, Income Overview, Countable and Excluded Income, Expenses, The 5 Percent Federal Poverty Level Disregard for MAGI, and Reasonable Compatibility and Verification Hospital Presumptive	010.005 010.010 010.020 010.025 010.030 010.035 TBD	Out of the Box	Release 1	Appendix 3, Section 1.2.2.1	Eligibility for the MAGI programs are supported using out NextGen solution 'Out of the Box'. Additional programs and TN specific rules can be built on the NextGen COTS BRE framework.



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FR-ED-093	The Solution shall have the ability to determine eligibility for Non-MAGI.	Determine Eligibility --- ED 1.8.1 --- Perform Eligibility Determination Process	Eligibility Determination	H	Multiple	Medically Needy Countable and Excluded Income Medically Needy Spend Down Treatment of Resources: Ownership Countable and Excluded Resources for Medically Needy Inaccessible Resources for Medically Needy Trusts and Medically Needy Categories ABD Earned Income ABD Unearned Income ABD Income Disregards and Expenditures	010.045 010.050 010.055 010.060 010.065 010.070 110.025 110.030 110.035 110.040	Configuration	Release 2	Appendix 3, Section 1.2.2.1	Eligibility for the Non-MAGI programs are supported using out NextGen solution. Out of the Box we are able to bring rules set that have been developed based on other state specific non-MAGI eligibility requirements. Our team will work with you during design to configure Tennessee specific eligibility rules for non-MAGI Medicaid categories using the 'Out of Box' non-MAGI baseline rules that we bring to Tennessee.



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					es ABD Deemin g of Income and Resourc es					



Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes	
FR-ED-094	The Solution shall have the ability to determine eligibility for Medicare Savings Programs.	Determine Eligibility --- ED 1.8.1 --- Perform Eligibility Determination Process	Eligibility Determination	H	Multiple	Medicare Savings Programs Overview Qualified Medicare Beneficiary Specified Low Income Medicare Beneficiary Qualifying Individuals 1 Qualified Disabled Working Individuals	120.005 120.010 120.015 120.020 120.025	Out of the Box	Release 2	Appendix 3, Section 1.2.2.1	Eligibility for the MSP programs are supported using out NextGen solution 'Out of the Box'. Additional programs and TN specific rules can be built on the NextGen COTS BRE framework.
FR-ED-095	The Solution shall have the ability to determine eligibility for LTSS.	Determine Eligibility --- ED 1.8.1 --- Perform Eligibility Determination Process	Eligibility Determination	H	Multiple	Institutional Status, TennCare Choices in Long-Term Services, Resource Assessment, and Long-Term Care	125.005 130.005 125.015 125.025	Out of the Box	Release 2	Appendix 3, Section 1.2.2.1	Eligibility for LTSS programs are supported using out NextGen solution 'Out of the Box'. Additional programs and TN specific rules can be built on the NextGen COTS BRE framework.



Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes	
					Partnership						
FR-ED-096	The Solution shall automatically determine eligibility for a specific program when verifications are resolved.	Determine Eligibility --- ED 1.8.1 --- Perform Eligibility Determination Process	Eligibility Determination	H	200.040	Eligibility Determination		Out of the Box	Release 1	Appendix 3, Section 1.2.2.1	Our solution supports automatic eligibility determination based on other interfaces as defined by business policy and implemented per business rules.
FR-ED-097	The Solution shall have the ability to deny or terminate eligibility effective any day of the month based on State policies.	Determine Eligibility --- ED 1.8.1 --- Perform Eligibility Determination Process	Eligibility Determination	H	Multiple	Death ABD Death Citizenship and Immigration Cooperation with CS Services ABD Citizenship and Immigration Breast or Cervical Cancer Institutional Status TennCare e CHOICES in LTSS Other programs not	005.0451 00.03000 5.010005 .035100. 010115.0 05125.00 5130.005	Configuration	Release 1	Appendix 3, Section 1.2.2.3	Our solution can be configured to end benefits on any day of the month based on State specific rules and program types.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
						listed above may also require a 'specific date' termination.					
FR-ED-098	The Solution shall be able to support penalty period identification, including retroactive application of penalty period, due to transfer of resources.	Determine Eligibility --- ED 1.8.1 --- Perform Eligibility Determination Process	Eligibility Determination	H	125.010	Transfer of Assets and Penalty Periods		Out of the Box	Release 1	Appendix 3, Section 1.2.2.17	Our solution provides the capability to capture the asset transfer data within the resources module in Data Collection. Based on the data captured our solution automatically creates a penalty period for long term care members including the retroactive application periods.
FR-ED-099	The Solution shall be able to calculate penalty period based on entered asset transfer information and statewide average of nursing facility rate.	Determine Eligibility --- ED 1.8.1 --- Perform Eligibility Determination Process	Eligibility Determination	H	125.010	Transfer of Assets and Penalty Periods		Out of the Box	Release 2	Appendix 3, Section 1.2.2.17	As per the details in requirement FR-ED-098, our solution automatically calculates the penalty period for asset transfer. Our business rules engine calculates this based on the statewide average nursing facility rate information stored in our reference tables.
FR-ED-100	The Solution shall apply the penalty period to the eligibility period.	Determine Eligibility --- ED 1.8.1 --- Perform Eligibility Determination Process	Eligibility Determination	H	125.010	Transfer of Assets and Penalty Periods		Out of the Box	Release 2	Appendix 3, Section 1.2.2.17	As defined in requirements FR-ED-098 our solution automatically calculate the penalty period and applies to eligibility periods for active Long term care members.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-ED-101	The Solution shall provide the ability to track a members penalty period.	Determine Eligibility --- ED 1.8.1 --- Perform Eligibility Determination Process	Eligibility Determination	H	125.010	Transfer of Assets and Penalty Periods		Out of the Box	Release 2	Appendix 3, Section 1.2.2.17	Our solution provides the ability to track members penalty period using the eligibility summary and individual eligibility summary screens.
FR-ED-102	The Solution shall be able to support tracking of level of care for LTSS applicants/members.	Determine Eligibility --- ED 1.8.1 --- Perform Eligibility Determination Process	Eligibility Determination	H	Multiple	Institutional Status TennCare Choices in Long-Term Services and Support	125.005 130.005	Out of the Box	Release 2	Appendix 3, Section 1.2.2.15	The EDBC module also includes information about the scope of coverage, or level of care, for which an individual is authorized upon approval for certain Medicaid programs. In addition to the level of care, the copay amount an individual is responsible for contributing, for example, towards the cost of a residential care facility, is also available.
FR-ED-103	The Solution shall be able to override an asset transfer penalty period or excess home equity denial due to a hardship waiver.	Determine Eligibility --- ED 1.8.1 --- Perform Eligibility Determination Process	Eligibility Determination	H	125.010	Transfer of Assets and Penalty Periods		Out of the Box	Release 2	Appendix 3, Section 1.2.2.18	As per the details in requirement FR-ED-098, our solution automatically calculates the penalty period for asset transfer. Our solution provides also capability to add systematic exemptions for transfer penalty logic to override eligibility determination for hardship waiver.
FR-ED-104	The Solution shall determine the start date and end date of eligibility, on any day of the month, based on State policies.	Determine Eligibility --- ED 1.8.1 --- Perform Eligibility Determination Process	Eligibility Determination	H	200.040	Eligibility Determination		Out of the Box	Release 1	Appendix 3, Section 1.2.2.3	Our solution is configurable to end benefits on any day of the month based on State specific rules.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-ED-105	The Solution shall have the ability to provide presumptive coverage through the end of the month following the month in which the eligibility determination was made OR the day on which a decision is made on a filed Medicaid application.	Determine Eligibility --- ED 1.8.1 --- Perform Eligibility Determination Process	Eligibility Determination	H	Multiple	Presumptively Eligible Pregnant Women Breast or Cervical Cancer	015.030 115.005	Out of the Box	Release 2	Appendix 3, Section 1.2.2.4	The system will have special rules to determine eligibility for the TN presumptive and expedited programs eligibility programs. Presumptive eligibility will allow for specific groups of people to receive immediate eligibility based on member attested information. The NextGen solution provides presumptive coverage through the end of the month following the month in which the eligibility determination was made or the day on which a decision is made on a filed Medicaid application. Expedited eligibility logic is also part of the eligibility module which will allow for compliance with Federal determination requirements even when a verification is still pending.
FR-ED-106	The Solution shall have the ability to designate the reason/trigger for an eligibility determination.	Determine Eligibility --- ED 1.8.1 --- Perform Eligibility Determination Process	Eligibility Determination	H	200.040	Eligibility Determination		Out of the Box	Release 1	Appendix 3, Section 1.2.2.19	Our solution provides the capability to generate reasons for the eligibility determination for approvals, denials and terminations. The reasons are displayed to the users using the Eligibility Summary screen.
FR-ED-107	The Solution shall have the ability to determine eligibility based on applicant being in current State of TN DCS custody.	Determine Eligibility --- ED 1.8.1 --- Perform Eligibility Determination Process	Eligibility Determination	H	Un-numbered	Policy for Immediate Eligibility for Current DCS Custody		Custom - Easy	Release 2	Appendix 3, Section 1.2.2.7	Our solution will provides the capability to interface with DCS to receive information for foster care members Our rules engine will be customized to evaluate foster care Medicaid for members being on the DCS custody.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-ED-108	The Solution shall have the ability for appropriate user roles to perform mass changes to implement updated MSP Premium Amounts (based on federal COLA) or other similar reference value changes.	Determine Eligibility --- ED 1.8.1 --- Perform Eligibility Determination Process	Eligibility Determination	H	120.005	Medicare Savings Programs Overview		Out of the Box	Release 2	Appendix 3, Section 1.2.2.19	The Mass Update module provides the functionality to quickly implement new policy, changes to eligibility standards, and other time-based regulatory changes (COLA, RSDI and MSP premium amounts) without direct user intervention. This module executes these changes across applicable cases in an automated manner. The Mass Update module identifies impacted cases, excludes cases that meet pre-defined criteria, updates case data (as required), invokes eligibility and authorization on cases identified, and generates alerts and member letters including notices of action (NOAs) and various reports, as applicable. This module also generate reports and statistics regarding the outcome of mass updates, and provide meaningful information to personnel.
FR-ED-109	The Solution shall have the ability to apply immediate eligibility for designated categories.	Determine Eligibility --- ED 1.8.2 --- Assign individual to one eligibility group	Eligibility Determination	H	200.040	Eligibility Determination		Out of the Box	Release 2	Appendix 3, Section 1.2.2.4	The system will have special rules to determine eligibility for the TN presumptive and expedited programs eligibility programs. Presumptive eligibility allows for specific groups of people to receive immediate eligibility based on member attested information.
FR-ED-110	The Solution shall have the ability to apply presumptive eligibility for designated categories.	Determine Eligibility --- ED 1.8.2 --- Assign individual to one eligibility group	Eligibility Determination	H	Multiple	Presumptively Eligible Pregnant Women Breast or Cervical Cancer Deemed Newborns Hospital Presumptive	015.030 115.005 015.010 TBD-not issued yet	Out of the Box	Release 2	Appendix 3, Section 1.2.2.4	The NextGen solution provides presumptive coverage through the end of the month following the month in which the eligibility determination was made or the day on which a decision is made on a filed Medicaid application. Expedited eligibility logic is also part of the eligibility module which allows for compliance with Federal determination requirements even when a verification is still pending.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-ED-111	The Solution shall have the ability to store eligibility result.	Determine Eligibility --- ED 1.8.2 --- Store Eligibility Result	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2.2.16	After an eligibility determination has been made the results are displayed to the case worker. The worker can view the eligibility result per group per month. The result displays the eligibility result at a module level such as non-financial, financial and verification. The worker can see for each segment a descriptive reason for ineligibility if the member was determined ineligible as well as which additional verifications are required. The system will allow the worker to validate the income and resource calculations as well as which individuals are included in the group prior to authorizing the benefits.
FR-ED-112	The Solution shall have the ability to store eligibility result reason.	Determine Eligibility --- ED 1.8.2 --- Store Eligibility Result	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2.2.16	The worker can see for each segment a descriptive reason for ineligibility if the member was determined ineligible as well as which additional verifications are required. The system will allow the worker to validate the income and resource calculations as well as which individuals are included in the group prior to authorizing the benefits.
FR-ED-113	The Solution shall provide a link to the relevant section of policy manuals to identify the policy directing the eligibility outcome.	Determine Eligibility --- ED 1.8.3 --- Assign individual to one eligibility group	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2	Our solution has the capability to provide a link to the State of Tennessee's Eligibility policy manual in all of the Data Collection and eligibility screens to serve as a reference for the user. All it would be remaining to do is place the State of Tennessee's Eligibility policy manual link in a configuration location to drive this process.
FR-ED-114	The Solution shall allow user roles, as defined by the State, to manually override an eligibility decision, eligibility category, eligibility start dates, or eligibility end dates, as defined by the state of TN.	Determine Eligibility --- ED 1.8.3 --- Assign individual to one eligibility group	Eligibility Determination	H				Out of the Box	Release 1	Appendix 3, Section 1.2.2.18	Our proposed solution's eligibility module automatically determines eligibility for each program administered. The solution provides authorized users with the ability to modify these results, due to a unique member circumstance, by overriding the eligibility determination. Our solution provides the capability to override categories of eligibility, and program dates. It also provides the user to capture the reason for the override.



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FR-ED-115	The Solution shall enable, for each applicant, calculation of Financially Responsible Relatives (FRR) Medicaid household size and association to FRR household composition members.	Eligibility Determination	H	Multiple	Medically Needy Household Composition ABD Household Composition ABD Financially Responsible Relatives	010.040 110.010 110.020	Out of the Box	Release 2	Appendix 3, Section 1.2.2.5	When an end user initiates the eligibility process, or "runs EDBC" for a specific case, the eligibility module gathers the case and individual information that has been collected in the system and evaluates it against the policy rules for the programs that have been requested to form an eligibility determination group. For MAGI Medical programs the system will first determine if tax or relationship rules are required based on the tax status of the households and applicable exemptions. Once the type of group composition rules are defined the system automatically builds the group. In order to make the determination using relationship rules less error prone the system will automatically populate reciprocal relationships when entered by the worker which are then automatically used by eligibility when relationship rules are required.
FR-ED-116	The Solution shall have the ability to verify all non-financial eligibility requirements for Non-MAGI programs, as defined by the State.	Eligibility Determination	H	Multiple	ABD State Residence ABD Citizenship and Immigration ABD Qualified Non-Citizens ABD Enumeration ABD Age Pickle Pass-along Disabled Adult Children Widow/Widower Categories	100.005 100.010 100.015 100.020 100.025 115.050 115.010 115.030 -	Configuration	Release 2	Appendix 3, Section 1.2.2.7	Eligibility for the Non-MAGI programs are supported using out NextGen solution. Out of the Box we are able to bring rules set that have been developed based on other state specific non-MAGI eligibility requirements. Our team will work with you during design to configure Tennessee specific eligibility rules for non-MAGI Medicaid categories using the 'Out of Box' non-MAGI baseline rules that we bring to Tennessee.



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FR-ED-117	The Solution shall have the ability to verify Pickle-Pass along status.	Non-MAGI Non-Financial Verification --- ED 1.10.1 --- Pickle Pass Along Verification	Eligibility Determination	H	115.050	Pickle Pass-along		Custom - Easy	Release 2	Appendix 3, Section 1.2.2.1	The business rules engine and data collections of our NextGen solution can be customized to capture data and evaluate eligibility for Pickle -Pass category.
FR-ED-118	The Solution shall have the ability to verify Disabled Adult Child status.	Non-MAGI Non-Financial Verification --- ED 1.10.2 --- Disabled Adult Child Verification	Eligibility Determination	H	115.010	Disabled Adult Children		Out of the Box	Release 2	Appendix 3, Section 1.2.2.1	Eligibility for the DAC programs are supported using out NextGen solution 'Out of the Box'. Additional programs and TN specific rules can be built on the NextGen COTS BRE framework.
FR-ED-119	The Solution shall have the ability to verify Widow/Widower status.	Non-MAGI Non-Financial Verification --- ED 1.10.3 --- Widow/Widower Verification	Eligibility Determination	H	115.030	Widow/ Widower Categories		Out of the Box	Release 2	Appendix 3, Section 1.2.2.1	Eligibility for the Widow(er) programs are supported using out NextGen solution 'Out of the Box'. Additional programs and TN specific rules can be built on the NextGen COTS BRE framework.
FR-ED-120	The Solution shall perform verification of attested access to and enrollment in Medicare with external data sources, including but not limited to SSA BENDEX.	Non-MAGI Non-Financial Verification --- ED 1.10.4 --- Medicare Verification	Eligibility Determination	H	200.035	Verification		Out of the Box	Release 2	Appendix 3, Section 1.2.3.9	The NextGen solution provides verification of Medicare Part A/Part B through two sources – the State Online Query-I (SOLQ-I) real-time we service and the Beneficiary Data Exchange (BENDEX) batch interface with the Social Security Administration. Anytime during the intake/case change/case review/renewal process, the worker can request Medicare Part A/Part B information through the SOLQ-I interface, which will send a real-time request to SSA and populate the response in a screen for the worker to verify. The BENDEX process operates as part of the nightly batch process and sends out a request for all individuals eligible for Medicaid to the BENDEX system to check for Medicare enrollment in addition to receipt of Title II Income.
FR-ED-121	The Solution shall have the ability to verify all financial eligibility requirements for Non-MAGI programs, as defined by the State.	Eligibility Determination --- ED 1.11 --- Non-MAGI Financial Verification	Eligibility Determination	H	Multiple	ABD Income Overview ABD Treatment of Resources: Ownership ABD Trusts ABD		Configuration	Release 2	Appendix 3, Section 1.2.2.8	Eligibility for the Non-MAGI programs are supported using out NextGen solution. Out of the Box we are able to bring rules set that have been developed based on other state specific non-MAGI eligibility requirements. Our team will work with you during design to configure Tennessee specific eligibility rules for non-MAGI Medicaid categories using the 'Out of Box' non-MAGI baseline rules that we bring to Tennessee.



Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
					Inaccessible Resources Application for Other Program Benefits					
FR-ED-123	The Solution shall have the ability to electronically verify assets and resources for all applicants upon submission of an application.	Non-MAGI Financial Verification --- ED 1.11.2 --- Resource/Asset Verification	Eligibility Determination	H	010.055	Treatment of Resources: Ownership, Equity Value and Accessibility for Medically Needy	Configuration	Release 2	Appendix 3, Section 1.2.3.5	The Asset Verification Service (AVS) is currently being used in various state Medicaid programs throughout the country to coordinate benefits, implement program integrity, and verify resources of recipients. Our NextGen solution has the capability to interface with a third party tool/software identified by the state in order to verify both disclosed and undisclosed resources. Our solution has a pre-built interface that can be configured per the third party tool/software identified by the State.
FR-ED-124	The Solution shall have the ability to electronically verify assets and resources for all members for redetermination of program services.	Non-MAGI Financial Verification --- ED 1.11.2 --- Resource/Asset Verification	Eligibility Determination	H	010.055	Treatment of Resources: Ownership, Equity Value and Accessibility for Medically Needy	Custom - Difficult	Release 2	Appendix 3, Section 1.2.3.5	The Asset Verification Service (AVS) in the NextGen solution is customizable to be invoked during several points in a case's lifecycle - intake, redetermination, case change and case review.



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FR-ED-125	The Solution shall have the ability to send electronic verification requests to financial institutions.	Non-MAGI Financial Verification --- ED 1.11.2 --- Resource/Asset Verification	Eligibility Determination	L	010.055	Treatment of Resources: Ownership, Equity Value and Accessibility for Medically Needy	The State may plan to provide an Asset Verification system at a later date.	Custom - Difficult	Release 2	Appendix 3, Section 1.2.3.5	The NextGen solution has the capability to interface with any third party tool/software identified by the State. Requests for verification of resources would be made by the system to the third party software's database that would in turn route the requests to financial institutions.
FR-ED-126	The Solution shall have the ability to provide alerts upon receipt of information from an applicant/member or data source.	Non-MAGI Financial Verification --- ED 1.11.2 --- Resource/Asset Verification	Eligibility Determination	H				Custom - Difficult	Release 2	Appendix 3, Section 1.2.3.5	Our proposed solution has the ability to poll for asynchronous responses from the asset verification third party software, and create alerts for users upon receipt of asset/resource verifications from the data source. Our solution also provides the capability to create tasks for a user when a member submits a verification through the member portal or by mail.
FR-ED-127	The Solution shall have the ability to process electronic verification responses received per program rules.	Non-MAGI Financial Verification --- ED 1.11.2 --- Resource/Asset Verification	Eligibility Determination	H	200.035	Verification		Custom - Difficult	Release 2	Appendix 3, Section 1.2.3.5	Our solution features pre-built interfaces that are customized and configured to process electronic verification per program rules. The Federal interfaces are provided with configuration as they are adapted to meet the TN infrastructure. The State interfaces are customized to meet the needs of the various State system requirements.
FR-ED-128	The Solution shall have the ability to calculate appropriate penalty period for the transfer of assets/resources.	Non-MAGI Financial Verification --- ED 1.11.2 --- Resource/Asset Verification	Eligibility Determination	H	Multiple	Treatment of Resources: Ownership Institutional Medicaid	010.055 115.015	Out of the Box	Release 2	Appendix 3, Section 1.2.3.5	As defined in requirement FR-ED-098 and FR-ED-099, our solution provides the capability to capture the asset transfer data within the resources module in Data Collection. Based on the data captured our solution automatically creates a penalty period for long term care members including the retroactive application periods.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-ED-129	The Solution shall have the ability to verify resource limits do not exceed individual or couple thresholds as specified in State policy.	Non-MAGI Financial Verification --- ED 1.11.2 --- Resource/Asset Verification	Eligibility Determination	H	010.055	Treatment of Resources: Ownership, Equity Value and Accessibility for Medically Needy		Out of the Box	Release 2	Appendix 3, Section 1.2.3.5	Our solution's Business Rules Engine has the capability to calculate resources for members or couples who are potentially eligible for Non MAGI categories of Eligibility. Households that have an resource exceeded the threshold will not be eligible for assistance as per the program rules.
FR-ED-130	The Solution shall have the ability to calculate asset spend down.	Non-MAGI Financial Verification --- ED 1.11.2 --- Resource/Asset Verification	Eligibility Determination	H	010.050	Medically Needy Spend Down		Out of the Box	Release 2	Appendix 3, Section 1.2.3.5	The solution has the ability to calculate asset spend down.
FR-ED-131	The Solution shall have the ability to future date letters and notices.		Notices	H				Configuration	Release 1	Appendix 3, Section 1.2.4.2	The solution has the functionality to post date letters in order to allow for the appropriate time for compliance to be provided to the members. For example if it takes two dates for a piece of mail to be printed and sent the verification documents can be configured to add two days to the due date.
FR-ED-132	The Solution shall determine Emergency Medicaid eligibility for persons with an emergency medical condition who otherwise meet all Medicaid eligibility requirements except for citizenship or immigration requirements.							Out of the Box	Release 2	Appendix 3, Section 1.2.2.1	The system contains preconfigured rules to determine eligibility for Emergency Medicaid eligibility programs. Expedited eligibility logic is also part of the eligibility module which will allow for compliance with Federal determination requirements even when a verification is still pending.



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FR-ED-133	The Solution shall determine Hospital Presumptive eligibility for persons who attest to meeting the MAGI Medicaid eligibility requirements and apply through participating hospitals in the State of Tennessee.							Out of the Box	Release 2	Appendix 3, Section 1.2.2.10	The system contains preconfigured rules to determine eligibility for presumptive and expedited eligibility programs. The NextGen solution provides presumptive coverage through the end of the month following the month in which the eligibility determination was made or the day on which a decision is made on a filed Medicaid application. Expedited eligibility logic is also part of the eligibility module which will allow for compliance with Federal determination requirements even when a verification is still pending.
FR-ED-134	The Solution shall determine Presumptive eligibility for persons who attest to meeting Medicaid eligibility requirements.							Out of the Box	Release 2	Appendix 3, Section 1.2.2.10	The system will have special rules to determine eligibility for the TN presumptive and expedited programs eligibility programs. Presumptive eligibility will allow for specific groups of people to receive immediate eligibility based on member attested information. The NextGen solution provides presumptive coverage through the end of the month following the month in which the eligibility determination was made or the day on which a decision is made on a filed Medicaid application. Expedited eligibility logic is also part of the eligibility module which will allow for compliance with Federal determination requirements even when a verification is still pending.
FR-ED-135	The Solution shall have the ability to generate a copy of a notice for multiple mailing addresses.	Request for Verification Notice --- ED 1.7.1.1 --- Retrieve notice from Digital Repository Post-Eligibility Verifications --- CM 1.2.7 --- Request for Verification Notice	Notices	H	200.040	Eligibility Determination		Out of the Box	Release 1	Appendix 3, Section 1.2.4.2	The system is configured to be able to generate correspondence to more than one mailing address per case. The number of addresses that can be assigned to a case is configurable based on TN needs. The solution also has the capability to send notices to authorized representatives and facilities for Long Term Medicaid.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-E&DT-001	The Solution shall implement an enrollment-related workflow to address individuals that are determined eligible.	Enrollment & Denial / Terminate --- E&DT 1.1 --- Enrollment	Enrollment & Denial / Termination	H				Out of the Box	Release 1	Appendix 3, Section 1.3.3	Deloitte's NextGen solution is engineered to keep track of eligibility determinations and benefit approvals, and trigger interfaces to transfer Medicaid eligibility information to the State Medicaid Management Information System (MMIS) through a daily batch process. Our solution also sends back the data to FFM through a daily batch process for applications originated from them. Our solution also provides the capability to send an approval notice.
FR-E&DT-002	The Solution shall implement a denial/termination-related workflow to address individuals that are determined ineligible.	Enrollment & Denial / Terminate --- E&DT 1.2 --- Denial / Terminate	Enrollment & Denial / Termination	H				Out of the Box	Release 1	Appendix 3, Section 1.3.3	Our solution has the capability to send data to the Federally Facilitated Marketplace through a daily batch interface for all members determined as ineligible. The referrals are sent to FFM irrespective of the source of the applications. Our solution also provides the capability to send denial notices.
FR-E&DT-003	The Solution shall create and transmit H15 account transfer transactions to the FFM in accordance with State and Federal defined format, schedule and processing rules.	Enrollment --- E&DT 1.1.1 --- Outbound Account Transfer	Enrollment & Denial / Termination	H	200.030	The Application Process		Out of the Box	Release 1	Appendix 3, Section 1.3.3	As defined in requirement FR-E&DT-001 and FR-E&DT-002, the NextGen solution will also enable the system to send account referrals to the FFM for applicable cases using H15 service based interface. Cases needing to be referred per CMS guidance fit into two categories: - An application originating from the FFM has a final eligibility determination made. - An application not originating from the FFM qualifies to have an account transferred to the FFM. The NextGen solution is equipped with the necessary logic to send the qualifying application as a referral to the FFM. Both the above transactions are sent through a daily batch process.



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FR-E&DT-004	The Solution shall have the ability to re-transmit H15 account transfer transactions to the FFM in accordance with State and Federal defined format, schedule and processing rules when the previous transfer was unsuccessful or unconfirmed.	Eligibility Information Transfer to External Sources (Outbound Account Transfer) --- E&DT 1.1.1.1 --- Send Eligibility Record	Enrollment & Denial / Termination	H	200.030	The Application Process		Out of the Box	Release 1	Appendix 3, Section 1.3.3	Our proposed solution has the ability to receive an acknowledgement response from the FFM upon transmission of account responses/referrals, processing the response from FFM and re-transmitting the accounts back to the FFM in the case of errors.
FR-E&DT-005	The Solution shall have the ability to configure the timeframe associated with automatic transmission of data.	Eligibility Information Transfer to External Sources (Outbound Account Transfer) --- E&DT 1.1.1.1 --- Send Eligibility Record	Enrollment & Denial / Termination	H				Out of the Box	Release 1	Appendix 3, Section 1.3.3	Our proposed solution has the capability to automatically schedule transmission of data through the automatic batch scheduling tool built into the system.
FR-E&DT-008	The Solution shall have the ability to verify the receipt of data transfers from the FFM.	Eligibility Information Transfer to External Sources (Outbound Account Transfer) --- E&DT 1.1.1.4 --- Verify Acknowledgement Received	Enrollment & Denial / Termination	H	200.030	The Application Process		Out of the Box	Release 1	Appendix 3, Section 1.3.3	Our proposed solution has the ability to receive an acknowledgement response from the FFM upon transmission of account responses/referrals, processing the response from FFM and re-transmitting the accounts back to the FFM in the case of errors.



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FR-E&D T-009	The Solution shall have the ability to transmit new and updated eligibility and case information to MMIS, as defined by the State.	Enrollment --- E&DT 1.1.2 --- Send Eligibility Record to MMIS	Enrollment & Denial / Termination	H				Out of the Box	Release 1	Appendix 3, Section 1.3.2	Deloitte's NextGen solution is engineered to keep track of eligibility determinations and benefit approvals, and trigger interfaces to transfer Medicaid eligibility information to the State Medicaid Management Information System (MMIS). For any newly approved and authorized case, a trigger record would be created when eligibility runs. For any case undergoing changes, potentially affecting eligibility, a trigger record would be created when eligibility runs.
FR-E&D T-010	The Solution shall have the ability to re-transmit eligibility information to MMIS for eligibility records designated in the error report.	Send Eligibility Record to MMIS --- E&DT 1.1.2.1 --- Send Eligibility Record	Enrollment & Denial / Termination	H				Out of the Box	Release 1	Appendix 3, Section 1.3.2	Our solution has the ability to receive and process the error report produced by the MMIS system. The error report produced by MMIS upon processing of the daily MMIS file would be analyzed by the support team on a daily basis and the records contained within the error report would be regenerated in the following MMIS batch file and sent out to MMIS.
FR-E&D T-012	The Solution shall have the ability to receive and process the error report generated by MMIS.	Send Eligibility Record to MMIS --- E&DT 1.1.2.3 --- Receive and Process Error Report	Enrollment & Denial / Termination	H				Out of the Box	Release 1	Appendix 3, Section 1.3.2	Our solution has the ability to receive and process the error report produced by the MMIS system. The error report produced by MMIS upon processing of the daily MMIS file would be analyzed by the support team on a daily basis and the records contained within the error report would be regenerated in the following MMIS batch file and sent out to MMIS.



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FR-E&D T-014	The Solution shall have the ability to generate an Eligibility Determination Notice that includes, but is not limited to, for each applicant that was determined: i. All applicable reasons for eligibility/ineligibility ii. The associated eligibility program. iii. Effective dates of eligibility. iv. Appeal language and appeal dates. v. Preferred MCO vi. Notification of application being transferred to FFM for health exchange consideration	Send Eligibility Record to MMIS --- E&DT 1.1.2.5 --- Eligibility Determination Notice	Enrollment & Denial / Termination	H	200.040	Eligibility Determination		Configuration	Release 1	Appendix 3, Section 1.3	The proposed NextGen solution comes with a framework that allows for triggering and generating notices using HP Exstream. The configuration activities that remain would be 1. Build the Tennessee specific notices and look and feel for eligibility determination and , 2. the integration with HP Exstream to pass case/member specific details to support this notice.
FR-E&D T-015	The Solution shall have the ability to report on the following reconciliation items: i. All members that were sent to MMIS were actually received ii. Member's eligibility start, change or termination date is correct iii. Member's eligibility group is correct iv. Member is added to the correct household	Send Eligibility Record to MMIS --- E&DT 1.1.2.1 --- Send Eligibility Record	Enrollment & Denial / Termination	H				Out of the Box	Release 1	Appendix 3, Section 1.3.2	The NextGen solution also has a MMIS Reconciliation process with MMIS systems in the other states where it has been successfully implemented. As part of this reconciliation process, the system sends out a Medicaid Reconciliation File containing all individuals active in Medicaid to the MMIS system. The MMIS system would process these files, update demographic and eligibility information based on the information sent out in the file, and process closures for cases present in MMIS and absent in the file, upon review and approval from State business personnel.



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FR-CM-001	The Solution shall allow user roles, as defined by the State, to view historical information in chronological order for a Members and their Eligibility Case or Appeals Case. (Separate logs).	Case Maintenance --- CM 1.1 --- Case Support Send Eligibility Record to MMIS --- E&DT 1.1.2.4 --- Resolve MMIS Error Report	Case Maintenance	H				Out of the Box	Release 1	Appendix 3, Section 1.4.1	Our proposed NextGen solution maintains an audit trail for all the updates on member information. The data collection screens provides the capability for viewing all historical records though dedicated buttons called 'View Case Reading Results(VCR)'. These buttons helps case workers navigate through historical information for any particular screen. Our solution also provides the capability for the workers to view the case comments entered for the case.
FR-CM-002	The Solution shall allow user roles, as defined by the State, to update case/member information for open and closed application/eligibility cases/appeals cases.	Case Maintenance --- CM 1.1 --- Case Support Appeals Order Implementation -- - AP 1.4.3 --- Update Member Application / Eligibility Case	Case Maintenance	H				Out of the Box	Release 1	Appendix 3, Section 1.4.3	Our solution allows the workers with specific roles to update information of members using multiple case actions depending upon the status of the case. Workers can use the Case Change action to update information of ongoing active cases, Recertification Action to start a new recertification and Intake Case Action to update information for a pending case. Our solution also provides capability to specific users based on roles to update case data of closed cases.
FR-CM-003	The Solution shall allow user roles, as defined by the State, to flag an eligibility case for fraud investigation.	Case Maintenance --- CM 1.1 --- Case Support	Case Maintenance	H				Custom - Easy	Release 2	Appendix 3, Section 1.4.3	Our solution can be customized to allow the case workers to flag an eligibility case as 'Undergoing Investigation' on our Data Collection Screens.
FR-CM-004	The Solution shall allow user roles, as defined by the State, to identify an eligibility case undergoing a fraud investigation.	Case Maintenance --- CM 1.1 --- Case Support	Case Maintenance	H				Custom - Easy	Release 2	Appendix 3, Section 1.4.3	Our Case Inquiry module will display a flag for all cases identified as 'Undergoing Investigation' as per the details listed in the requirement number 'FR-CM-003'
FR-CM-005	The Solution shall display all notices and correspondence for an eligibility case or appeals case in chronological order.	Case Maintenance --- CM 1.1 --- Case Support	Case Maintenance	H				Out of the Box	Release 1	Appendix 3, Section 1.4.1	The View History Correspondence module in our solution will allow the workers to view a history of all eligibility and appeals cases in chronological order. The screen will also allow the workers to search correspondences using generation dates and correspondence types.
FR-CM-006	The Solution shall allow closed eligibility cases to be re-opened within State-defined time period without	Case Maintenance --- CM 1.1 --- Case Support	Case Maintenance	H				Out of the Box	Release 1	Appendix 3, Section 1.4.3	Our Solution shall allow closed eligibility cases within specified time frame to be re-opened without requiring a separate application using the Reinstate Case action. All the existing case data will be used to process reinstatement without reentry of data



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	requiring a new application or re-entry of data.										
FR-CM-007	The Solution shall allow user roles, as defined by the State, to designate any eligibility case as confidential and limit accessibility. (All appeals cases are limited access by role.)	Case Maintenance --- CM 1.1 --- Case Support	Case Maintenance	H	200.005	Confidentiality & Privacy		Out of the Box	Release 2	Appendix 3, Section 1.4.3	Our solution's role based access functionality allows specific workers to designate a case as confidential. Further, our role based access functionality will prevent specific users from accessing and updating such cases. Our solution also provides the capability for authorized users to access to the appeals module by specific roles.
FR-CM-008	The Solution shall allow user roles, as defined by the State, to edit case notes. Case note logs shall be maintained separately for eligibility cases and appeals cases.	Case Maintenance --- CM 1.1 --- Case Support Request for Verification Notice --- ED 1.7.1.10 --- Update Case Notes Hearing --- AP 1.2.5 --- Accept Request for Continuance	Case Maintenance	H			(The ability to edit/update/browse case notes refers to separate note logs for an appeals case and an eligibility case (not just a single log for case notes).)	Configuration	Release 1	Appendix 3, Section 1.4.2	Our solution provides the role based access to specific users to update the case notes. Furthermore our solution provides the capability to maintain separate cases notes for eligibility and appeals cases.
FR-CM-009	The Solution shall provide the capability to select templates to generate case notes, with distinct templates for Eligibility Case Notes and Appeals Case Notes.	Case Maintenance --- CM 1.1 --- Case Support	Case Maintenance	M				Custom - Easy	Release 1	Appendix 3, Section 1.4.2	Our solution will provide the users the ability to choose templates while entering the case notes. The templates will also be stored in a reference table allowing the users to configure the templates for eligibility and appeals cases.



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FR-CM-010	The Solution shall allow user roles, as defined by the State, to access and search case note logs for Eligibility Cases and Appeals Cases.	Case Maintenance --- CM 1.1 --- Case Support	Case Maintenance	H				Configuration	Release 1	Appendix 3, Section 1.4.2	Our solution also provides the user a summary view of all case notes entered and allows the users to sort them based on dates and categories. We will configure our case notes screen that allows the user to search for case notes using program, date, user and common templates.
FR-CM-011	The Solution shall allow user roles, as defined by the State, to move or copy: - eligibility case notes from one eligibility case to another eligibility case, or - appeals case notes from one appeals case to another appeals case.	Case Maintenance --- CM 1.1 --- Case Support	Case Maintenance	H				Custom - Easy	Release 1	Appendix 3, Section 1.4.2	Our solution currently maintains the case notes at an eligibility and appeals case level. Case notes entered at member level automatically move from one case to another when the client moves between cases. Our solution can be customized to allow workers an option to copy specific case notes from one eligibility case to another and also from one appeals case to another.
FR-CM-012	The Solution shall allow user roles, as defined by the State, to access the eligibility case summary from any eligibility case screen.	Case Maintenance --- CM 1.1 --- Case Support	Case Maintenance	H				Out of the Box	Release 1	Appendix 3, Section 1.4.2	Our solution shall allow user roles, as defined by the State, to access the eligibility case summary by navigation to our Eligibility Summary module. Eligibility summary module provides a summary of all eligibility information for the entire household from the month of their application and also allows workers to sort by eligibility dates and categories of eligibility. It also allows workers to view historical eligibility information.
FR-CM-013	The Solution shall allow user roles, as defined by the State, to delete eligibility case notes or appeals case notes.	Case Maintenance --- CM 1.1 --- Case Support	Case Maintenance	H				Out of the Box	Release 1	Appendix 3, Section 1.4.2	Our solution provides the capability, based on our role based access, to allow users to delete eligibility and appeals case comments.
FR-CM-014	The Solution shall allow user roles, as defined by the State, to view appeals cases or appeals hearings status.	Case Maintenance --- CM 1.1 --- Case Support	Case Maintenance	H				Out of the Box	Release 2	Appendix 3, Section 1.4.3	Our solution's Appeals Inquiry module allows users to view the summary of appeals cases including the status of the hearing.



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FR-CM-015	The Solution shall allow user roles, as defined by the State, to view and update appeal case information including, but not limited to: i. Status of the Valid Factual Dispute review ii. Status of the Hearing Preparation review iii. Status of the Post-Hearing Preliminary Order Implementation Review	Case Maintenance --- CM 1.1 --- Case Support	Case Maintenance	H				Out of the Box	Release 2	Appendix 3, Section 1.4.3	Our solution allows users to view and update appeals case data. Our role based access functionality provides access to appeals users to perform specific actions
FR-CM-016	The Solution shall allow user roles, as defined by the State, to view and search for appeals information from current and historical incidents.	Case Maintenance --- CM 1.1 --- Case Support	Case Maintenance	H				Out of the Box	Release 2	Appendix 3, Section 1.4.3	The Appeals inquiry module in our solution allows workers to view all current and historical appeals information.



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FR-CM-017	The Solution shall have the ability to automatically perform post-eligibility verification to verify applicant data including but not limited to wages, unemployment, SSDI, incarceration, death and access to other coverage.	Case Maintenance --- CM 1.2 --- Post-Eligibility Verifications	Case Maintenance	H	Multiple	Cooperation with Child Support Services, and Verification	005.035 200.035	Out of the Box	Release 1	Appendix 3, Section 1.4.4	<p>Our solution comes inbuilt with a suite of federal/state/third party interfaces that are used to process the verification of member data without any manual intervention by our real time eligibility process. The interfaces are invoked automatically by our Real Time Eligibility process while processing an application for members. Our system also performs the auto redetermination using the interfaces and extends the redetermination dates. The following interfaces are used by our Real time process</p> <ol style="list-style-type: none"> 1. FSDH - SSI Composite - To verify SSN, Date of Birth, Incarceration Data , SSI and RSDI income 2. FDSH - VLP - To verify the member's legal alien status. 3. FDSH - IRS/Work Number - To verify wages 4. TN DOL- To verify quarterly income and Unemployment income 5. State Employee Health Coverage - To verify health coverage for members. 6. Vital Statistics to verify death
FR-CM-018	The Solution shall perform periodic matching of applicant data with external data sources on a configurable frequency.	Post-Eligibility Verifications --- CM 1.2.1 --- Send a Verification Request	Case Maintenance	H	200.020	Prohibition Against Concurrent Receipt of Benefits		Custom - Easy	Release 1	Appendix 3, Section 1.4.4	<p>Our solution has the capability to perform a period matching of member's data with the data sources for members who cannot be verified the first time. The frequency of this process can also be configured. Our solution can be customized to do a periodic matching of all the interfaces listed in requirement FR-ED-017 with member data on a configurable frequency.</p>
FR-CM-022	The Solution shall have the ability to store verification information received from external information sources, including but not limited to verification status, date of verification receipt, time of verification receipt, and external information source name.	Post-Eligibility Verifications --- CM 1.2.5 --- Store Verification Record	Case Maintenance	H	200.035	Verification		Out of the Box	Release 1	Appendix 3, Section 1.4.4	<p>Our solution has the capability to store the data received from external data sources in our system. Our inquiry screens allows the workers to search and view for the data received from the external sources.</p>



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FR-CM-023	The Solution shall compare external data source information to member's attested information and identify any data discrepancies.	Post-Eligibility Verifications --- CM 1.2.6 --- Assess Verification Information	Case Maintenance	H	200.035	Verification		Out of the Box	Release 1	Appendix 3, Section 1.4.4	Our solution has the capability to compare income data reported by the member with the data received from our income data source interface with FDSH and State's Department of Labor and identify any discrepancy with the data.
FR-CM-024	The Solution shall have the ability to configure threshold values to be utilized during comparison of external data source information to member attested information.	Post-Eligibility Verifications --- CM 1.2.6 --- Assess Verification Information	Case Maintenance	H				Out of the Box	Release 1	Appendix 3, Section 1.4.5	Our solution allows the workers to configure threshold values with the income comparison detailed in requirement FR-CM-023. This provides the ability to perform a reasonable compatibility of income and consider the income reported by member if the values fall under the threshold.
FR-CM-029	The Solution shall have the ability to capture and update information related to Patient Liability within an Eligibility Case.	Post-Eligibility Verifications --- CM 1.2.10 --- Receive Information	Case Maintenance	H	125.020	Post Eligibility Treatment of Income		Out of the Box	Release 2	Appendix 3, Section 1.4.4	Our eligibility determination module captures information required to calculate patient liability amounts for members requesting assistance for Long Term Care Medicaid. Information including income, resources for members and spouses are captured to calculate the liability amount.
FR-CM-030	The Solution shall have the ability to capture information related to Item D deductions within an Eligibility Case.	Post-Eligibility Verifications --- CM 1.2.10 --- Receive Information	Case Maintenance	H	125.020	Post Eligibility Treatment of Income		Out of the Box	Release 2	Appendix 3, Section 1.4.4	Our solution expenses module allows users to capture data on member's item D deductions to process eligibility for Long Term Care members.
FR-CM-031	The Solution shall have the ability to calculate patient liability amounts within eligibility case maintenance.	Post-Eligibility Verifications --- CM 1.2.10 --- Receive Information	Case Maintenance	H	125.020	Post Eligibility Treatment of Income		Out of the Box	Release 2	Appendix 3, Section 1.4.4	Based on the information captured for patient liability amount (detailed in requirement FR-CM-029) our eligibility determination module calculates patient liability and co-pay amount for members approved on Long term Care Medicaid cases. Separate screens in eligibility determination module calculates and displays these amounts.



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FR-CM-033	The Solution shall allow user roles, as defined by the State, to update eligibility case/member information.	Post-Eligibility Verifications --- CM 1.2.12 --- Verify and Update Case	Case Maintenance	H				Out of the Box	Release 1	Appendix 3, Section 1.4.3	Our solution allows the workers with specific roles to update information of members using multiple case actions depending upon the status of the case. Workers can use the Case Change action to update information of ongoing active cases, Recertification Action to start a new recertification and Intake Case Action to update information for a pending case. Our solution also provides capability to specific users based on roles to update case data of closed cases.
FR-CM-034	The Solution shall have the ability to automatically update eligibility case/member information or appeals case information.	Post-Eligibility Verifications --- CM 1.2.13 --- Update Case Based on External Data Sources	Case Maintenance	H				Out of the Box	Release 1	Appendix 3, Section 1.4.3	Our solution has the ability to automatically update eligibility case/member information or appeals case information.
FR-CM-035	The Solution shall have the ability to automatically trigger eligibility case redeterminations in accordance with State policy.	Case Maintenance --- CM 1.3 --- Redetermination	Case Maintenance	H				Out of the Box	Release 1	Appendix 3, Section 1.4.5	Our solution provides an automatic renewal process to trigger redetermination for cases that are due within a specified timeframe without any manual user intervention. Our system will invoke a real time interface using our federal, state and third party interfaces to verify the member's data
FR-CM-036	The Solution shall have the ability to update the member's scheduled date for the next redetermination, upon completion of a redetermination process or upon completion of an appeals case that revised a member's effective date.	Case Maintenance --- CM 1.3 --- Redetermination	Case Maintenance	H				Configuration	Release 1	Appendix 3, Section 1.4.5	Our proposed solution will automatically set the redetermination date once the renewal process has completed successfully. Our solution also provides the ability to change this date based on the results of an appeals case.



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FR-CM-037	The Solution shall have the ability to automate the redetermination process if application information remains the same or if verified information remains within configurable thresholds.	Case Maintenance --- CM 1.3 --- Redetermination	Case Maintenance	H				Out of the Box	Release 1	Appendix 3, Section 1.4.5	As defined in requirements FR-CM-035 and FR-CM-036 our solution will automatically initiate the process for renewal and extend the redetermination dates for MAGI Medicaid cases for which the verifications were successful. Our solution also has the capability to configure threshold values for income while verifying the data with the interfaces. This requirement applies to release 1 for MAGI and release 2 for non-MAGI based Medicaid.
FR-CM-038	The Solution shall have the ability to automatically reschedule redetermination dates to align renewal dates for multiple members of the same case, in accordance with program rules.	Case Maintenance --- CM 1.3 --- Redetermination	Case Maintenance	H				Out of the Box	Release 1	Appendix 3, Section 1.4.5	Our business rules engine has the capability to align the renewal dates for members within the same case together. This happens at intake for members requesting assistance at the same time or at recertification for member requesting assistance at different times.
FR-CM-039	The Solution shall have the ability to provide a preliminary redetermination of eligibility based on updated data from external sources.	Redetermination --- CM 1.3.1 --- Perform Ex Parte Eligibility Determination	Case Maintenance	H				Out of the Box	Release 1	Appendix 3, Section 1.4.5	Our solution has the capability to automatically initiate the process of renewal using the data sources and determine eligibility for members For successful renewals the solution automatically extends the redetermination dates and no contact is needed to be made with the members For members for whom the data cannot be verified, tasks are created for the users to perform this process manually.
FR-CM-040	The Solution shall have the ability to generate an automated pre-populated redetermination notification.	Redetermination --- CM 1.3.2 --- Pre-populated Eligibility Redetermination Notice	Case Maintenance	H				Out of the Box	Release 1	Appendix 3, Section 1.4.5	During the auto renewal process, if the system cannot automatically extend the dates, our solution has the capability to generate a prepopulated redetermination form and send to the members via mail.



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FR-CM-041	The Solution shall send a notification to the client of a redetermination . The notification may include, but is not limited to: i. Proposed Program(s) ii. Request for additional information	Redetermination --- CM 1.3.2 --- Preliminary Eligibility Redetermination Notice	Case Maintenance	H				Configuration	Release 1	Appendix 3, Section 1.4.5	The proposed NextGen solution comes with a framework that allows for triggering and generating notices using HP Exstream. The configuration activities that remain would be 1. Build the Tennessee specific notices and look and feel for redetermination and , 2. the integration with HP Exstream to pass case/member specific details to support this notice.
FR-CM-042	The Solution shall have the ability to generate a prepopulated redetermination/change of circumstances application form, as defined by the State, based upon batch process trigger.	Redetermination --- CM 1.3.2 --- Pre-populated Eligibility Redetermination Notice	Case Maintenance	H				Out of the Box	Release 1	Appendix 3, Section 1.4.5	As defined in requirement FR-CM-040 our solution has the capability to generate an auto populated redetermination form and the change notices using our batch processes and send the forms to the members by mail.
FR-CM-044	The Solution shall have the ability to perform age out/postpartum/eligibility grouping assessment batch processes.	Case Maintenance --- CM 1.4 --- Age-Out/Postpartum/Eligibility Grouping Assessment	Case Maintenance	H	Multiple	TennCare Standard TennCare Standard Medical Eligibility	015.060 017.005	Out of the Box	Release 1	Appendix 3, Section 1.4.6	Our NextGen solution includes pre-configured batch processes to monitor household circumstances and triggers workflows to re-evaluate eligibility for the household members.
FR-CM-045	The Solution shall periodically assess for other applicable aid category groupings that are time-based triggering events such as a birthday (age changes including 1, 6, 19), or end of pregnancy period.	Age-Out/Postpartum/Eligibility Grouping Assessment --- CM 1.4.1 --- Assess for Potential Eligibility Group	Case Maintenance	H				Out of the Box	Release 1	Appendix 3, Section 1.4.6	Our solution includes daily batch processes that process active cases and trigger time based events including age changes and end of pregnancy. The batch processes creates mass update triggers and the triggers are automatically evaluated and processed without any worker intervention



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FR-CM-046	The Solution shall have the ability to generate a Request for Information notice, which has specific content pertaining to the Age-Out/Postpartum/Eligibility Grouping Assessment process.	Age-Out/Postpartum/Eligibility Grouping Assessment --- CM 1.4.2 --- Request for Information Notice	Case Maintenance	H				Out of the Box	Release 1	Appendix 3, Section 1.4.6	Our solution also has the capability to generate a verification notice to the members while processing the age-postpartum triggers. This notice is sent if the eligibility needs more information from the member for determination.
FR-CM-047	The Solution shall generate mass mailings as defined and scheduled by the State.	Age-Out/Postpartum/Eligibility Grouping Assessment --- CM 1.4.2 --- Request for Information Notice	Case Maintenance	H				Configuration	Release 1	Appendix 3, Section 1.4.6	After successful completion of automatic trigger based events, our solution generates necessary correspondence to notify the members of any change in benefits after eligibility reevaluation. Our solution also provides the capability to generate Manual Mass notices using our Mass Mailing Request screen.
FR-AP-1	The Solution shall implement an appeals-related workflow to address the review of submitted appeals.	Appeals --- AP 1.1 --- Review	Appeals	H	200.055	Appeals		Configuration	Release 2	Appendix 3, Section 1.5.12	Our NextGen solution provides configurable dynamic workflows that allow users with State defined roles to process the entire appeals lifecycle from referral to final hearing outcome. In particular, users with appropriate roles can review submitted appeals, and review information including appellant's SSN, appellant's name, appellant's address, type of hearing, hearing schedule date and referral sources. We will configure our workflow to include the appeals review process for all new appeals request.



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FR-AP-2	The Solution shall support appeals interactions with internal and external users through the following channels: phone (inbound and outbound), mail, fax, email).	Review --- AP 1.1.1 --- Appeals Intake	Appeals	H	200.055	Appeals		Out of the Box	Release 2	Appendix 3, Section 1.5.9	<p>Our NextGen solution supports appeals interactions with internal and external users through the following channels:</p> <p>Phone Inbound: Allows contact center users to enter appeals information using the worker portal screens when members use the phone access channel.</p> <p>Phone Outbound : Our solution has the capability to send text messages to members enrolled for receiving electronic notifications, when an appeals notice is generated for members.</p> <p>Mail, Fax and Email : Our solution provides the IBM Datacap solution that allows users to scan appeal documents received by mail, fax and email resulting in tasks being created to appeals user profiles and queues. Our solution also provides the capability to generate notices to clients based on hearing processes and outcomes along with email notifications.</p>
FR-AP-4	The Solution shall have the ability to store and process appeals-related documentation, including but not limited to: request forms, legal documents, correspondence, medical records and verification documents.	Appeals Intake -- - AP 1.1.1.2 --- Receive Appeal Information	Appeals	H	200.055	Appeals		Out of the Box	Release 2	Appendix 3, Section 1.5.7	<p>Our NextGen solution enables multiple document types including request forms, legal documents, correspondence generated from our solution, medical records and verification documents to be associated to an appeal case. Some of those documents can be generated within the solution, while others can be scanned and associated to an appeals case. Both ways, all documentation can be stored and processed within the solution, tied to an appeal case, and accessed at any time by State-defined user roles through the Document Management tab on the left Navigation and accessing the Electronic Case File (ECF). Our solution also provides the ability to process the documentation scanned and create tasks based on our dynamic workflow rules engine.</p>



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FR-AP-5	The Solution shall have a dynamic user-interface and workflow for appeals intake based on information provided by the user.	Appeals Intake -- - AP 1.1.1.3 --- Appeals Request Data Entry	Appeals	H				Configuration	Release 2	Appendix 3, Section 1.5.1	Our NextGen solution provides workflows that allow users with State defined roles to process the entire appeals lifecycle from referral to final hearing outcome. Our solution also provides a dynamic user interface that allows appeals workers to enter information specific to a client or a case. Our solution provides the capability to configure the workflows to capture appeals intake data.
FR-AP-6	The Solution shall have the ability to automatically date/time-stamp upon receipt of an appeals request.	Appeals Intake -- - AP 1.1.1.3 --- Appeals Request Data Entry	Appeals	H				Out of the Box	Release 2	Appendix 3, Section 1.5.3	Our solution integrates with the state's Electronic Content Management system and provides the capability to automatically date and timestamp an appeals request when a request for appeals form is scanned by authorized users. Our appeals module also allows workers to enter the date and time for requests that come via the telephone.



FR-AP-7	<p>e Solution shall be able to record appeals request data including, but not limited to:</p> <ol style="list-style-type: none"> 1. Appellant name 2. Appellant current mailing address 3. Appellant current phone 4. Appellant authorized representative and/or conservator 5. Appellant's relationship to applicant 6. Appellant primary language 7. Appellant attorney name & contact info 8. Applicant name 9. Applicant date of birth 10. Applicant date of death (for deceased applicant) 11. Applicant's mother's enrollment status at applicant birth (for newborns) 12. Applicant SSN 13. Applicant phone number, alternate phone number and preferred callback time of day 14. Intake notes 15. Application ID (if appealing application submitted to FFM) 16. Application date 17. Application intake channel/form 18. Other appellants from same application 19. Case numbers of prior appeal(s) for same problem 20. Alleged incorrect treatment or eligibility decision 	Appeals Intake -- - AP 1.1.1.3 --- Appeals Request Data Entry	Appeals	H		Configuration	Release 2	Appendix 3, Section 1.5.2	Once an Appeal is created into our NextGen solution, a unique tracking number is assigned to the newly created Appeals Case. When applicable, the unique Appeal Case number created is then associated to the Eligibility Case for which the Appeal is requested. Our NextGen solution will be configured to capture appeal information and records a number of detail that includes all 25 items listed in FR-AP-7.
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	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-AP-8	The Solution shall have the ability to store the reason for the appeal request, including but not limited to: i. Denial of eligibility ii. Incorrect effective start date iii. Benefits suspension or termination iv. Failure to provide timely eligibility determination v. Discriminatory treatment/practice vi. Incorrect co-pay amount vii. Incorrect aid category/program.	Appeals Intake -- - AP 1.1.1.3 --- Appeals Request Data Entry	Appeals	H	200.055	Appeals		Configuration	Release 2	Appendix 3, Section 1.5.2	Our NextGen solution captures on the Add/Maintain Case screen the action the hearing is being filed against. Those actions can be configured to include all of the reasons for appeal request listed in FR-AP-8. Our solution's reference table module allows the configuration of the values defined in the requirement.
FR-AP-10	The Solution shall enable automatically starting a configurable Appeal Process Clock (day count) for appeals requests, when an appeals request is received. i. When started, the Process Clock shall have the attribute 'No Continuance'.	Appeals Intake -- - AP 1.1.1.4 --- Scan, Index, and Assign Type	Appeals	H				Out of the Box	Release 2	Appendix 3, Section 1.5.3	When an Appeal Request is entered into our NextGen solution, the solution automatically time-stamps the Appeal request received, and sets the Process Clock to "No Continuance". If a continuance is later requested by the Tennessean client, and approved by the Judge, the Process Clock is set to "Continuance". The NextGen Process Clock is automatically engaged once the Appeal process is started. Engaging the Process Clock allows the system to automatically populate certain dates onscreen, and to set deadlines for completing certain actions.



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FR-AP-13	The Solution shall enable multiple document types to be associated to an appeal, including but not limited to: i. Correspondences ii. Medical records iii. Lab records iv. Medical bills v. Testimony vi. Appeal request form vii. Healthcare application form viii. LTSS application form ix. MSP application form.	Appeals Intake -- - AP 1.1.1.7 --- Link to an Appeals Case and Assign Workflow	Appeals	H	200.055	Appeals		Out of the Box	Release 2	Appendix 3, Section 1.5.7	Our NextGen solution enables multiple document types to be associated to an appeal. Those documents can be categorized for easier retrieval from our Electronic Document Management system. Our NextGen solution allows all of the document types listed in FR-AP-13 to be associated to an appeals case. All the documents types are configurable values that are maintained in a reference table.
FR-AP-14	The Solution shall have the ability to associate multiple appeal cases with a single application.	Appeals Intake -- - AP 1.1.1.7 --- Link to an Appeals Case and Assign Workflow	Appeals	H				Out of the Box	Release 2	Appendix 3, Section 1.5.1	Our NextGen solution allows for the creation of several Appeals for a given individual, or a given Eligibility Case, at the same time, without restrictions. Multiple appeals can be associated with a single application. Our solution also provides validation on appeals types and status to prevent users from creating duplicate appeals.
FR-AP-16	The Solution shall allow multiple appeals to be open for an individual or case at the same time.	Appeals Intake -- - AP 1.1.1.9 --- Tag for Intake Resolution Workflow	Appeals	H				Configuration	Release 2	Appendix 3, Section 1.5.1	Our NextGen solution allows for the creation of several Appeals for a given individual, or a given Eligibility Case, at the same time, without restrictions. Our solution also has the capability to add restrictions to the user to not allow multiple appeals of the same type to be open. This can be used to prevent duplicate appeals cases from being created in our system.
FR-AP-17	The Solution shall enable identification of intake items which cannot be associated to any open appeals case (orphan).	Appeals Intake -- - AP 1.1.1.9 --- Tag for Intake Resolution Workflow	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.1	Our NextGen solution allows authorized users to associate an appeals case to an eligibility case. For appeal requests and documents that cannot be associated to an eligibility case, we will customize our workflow rules engine to create a task in the Appeals Intake Resolution Queue. This will allow authorized users to review the request and take the necessary action.



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FR-AP-18	The Solution shall implement an appeals-related workflow to address the Quality Improvement and Compliance Review process. See related Workflow Management Requirement #36.	Appeals	H				Custom - Difficult	Release 2	Appendix 3, Section 1.5.12	We will customize our NextGen solution by adding new screens and workflow rules to establish the QIC process. This will allow authorized users to review the appeals request that fail the pre-process checks. The following workflows will be customized as part of the QIC process. 1. Workflow to address pre-processing of appeals request 2. Workflow Implement QIC review 3. Workflows to address the error log generation and distribution to TNHC 4. Workflows to correct errors.
FR-AP-19	The Solution shall enable workflow management of an appeals request, including ability to assign a task owner and automatic review routing with email alert to assignee.	Appeals	H	200.055	Appeals		Configuration	Release 2	Appendix 3, Section 1.5.9	Our NextGen solution allows for interactions through the use of task assignments, and alerts. As part of the appeals request management workflow, we will configure up to five new automated assignment of appeal tasks to process an appeal request. The solution out of the box provides the ability for authorized users to create tasks manually and assign them to other users. In addition we will configure one new rule to generate an email to the assignee for reviewing the appeal request.
FR-AP-20	The Solution shall enable workflow management of a request to withdraw an appeal, including ability to assign a task owner and automatic review routing with email alert to assignee.	Appeals	H	200.055	Appeals		Configuration	Release 2	Appendix 3, Section 1.5.9	Our NextGen solution allows for interactions through the use of task assignments, and alerts. In particular, for any appeal request, or request to withdraw an appeal, the solution can be configured to allow users to capture the client's withdrawal using appeals screen and also create tasks and email alerts to the assignee.
FR-AP-21	The Solution shall enable workflow management of a submitted document/information for an appeal, including ability to assign a task owner and automatic	Appeals	H	200.055	Appeals		Out of the Box	Release 2	Appendix 3, Section 1.5.7	Our solution provides the capability to create tasks to workers when members submit their documents. Our dynamic workflow has the capability to route the documents to the appropriate queue based on the status of the appeals case.



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	review routing with email alert to assignee.										
FR-AP-22	The Solution shall have the ability to automatically indicate that recoupment is due when a final hearing outcome is ineligible and an appellant has elected benefits continuance within the appeals process.	Quality Improvement and Compliance Review --- AP 1.1.2.2 --- Open Appeal Case	Appeals	H	200.055	Appeals		Configuration	Release 2	Appendix 3, Section 1.5.9	Our NextGen solution provides the capability to automatically calculate the recoupment amount and create a claim for members, when the outcome of the appeals hearing results in ineligibility. Our solution has the capability to generate tasks or alerts to the eligibility case workers if needed for such actions.
FR-AP-23	The Solution shall enable creating/opening an appeals case.	Quality Improvement and Compliance Review --- AP 1.1.2.2 --- Open Appeal Case	Appeals	H	200.055	Appeals		Out of the Box	Release 2	Appendix 3, Section 1.5.1	As defined in requirement FR-AP-14, Our NextGen solution offers a dynamic user interface that provides authorized users the ability to record appeal request information. When users cannot associate intake information with an existing Appeals Case, that is if an Appeal case does not already exist, they can create/open a new Appeals case.
FR-AP-24	The Solution shall assign a unique tracking number for the appeals case.	Quality Improvement and Compliance Review --- AP 1.1.2.2 --- Open Appeal Case	Appeals	H				Out of the Box	Release 2	Appendix 3, Section 1.5.2	Once an Appeal is created in our NextGen solution, the solution generates a unique tracking number for the newly created Appeals Case. When applicable, the unique Appeal Case number created is then associated to the Eligibility Case for which the Appeal is requested.
FR-AP-25	The Solution shall have the ability to automatically add an eligibility case note, including appeal filing date, and an 'has open appeal' status flag, to the related eligibility case upon creation of an appeals case.	Quality Improvement and Compliance Review --- AP 1.1.2.2 --- Open Appeal Case	Appeals	H				Configuration	Release 2	Appendix 3, Section 1.5.10	Our NextGen solution can be configured so that, when an Appeals Case is recorded, it automatically adds an Eligibility Case note, including Appeal filing date, and a "has open appeal" status flag, to the related Eligibility Case. The case notes are added to the member associated with the appeals and can be viewed in all cases the member is part of. The case notes are added for the specific member for whom the appeals case is created and can be viewed on the individual summary screen in the Data Collection module.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-AP-26	The Solution shall provide the ability to associate the appeal request to an eligibility case.	Quality Improvement and Compliance Review --- AP 1.1.2.2 --- Open Appeal Case	Appeals	H	200.055	Appeals		Out of the Box	Release 2	Appendix 3, Section 1.5.1	When a link can be established between an Appeals Case and an existing Eligibility Case, our NextGen solution allows select users to associate the newly created Appeal Case to a specific application within the selected Eligibility Case, and document whether the appellant is requesting continuation of benefits on that application, for what month.
FR-AP-27	The solution shall allow user roles, as defined by the State, the ability to associate an appeal to a specific application within an eligibility case (linking data from the application into the appeal). Association of an appeal to an application is not mandatory. Association of an appeal to an individual (applicant/member) is mandatory.	Quality Improvement and Compliance Review --- AP 1.1.2.2 --- Open Appeal Case	Appeals	H				Configuration	Release 2	Appendix 3, Section 1.5.1	When a link can be established between an Appeals Case and an existing Eligibility Case, our NextGen solution allows authorized users to associate the newly created Appeal Case to a specific application within the selected Eligibility Case. The solution will allow require that the authorized user creating the appeal to associate the appeal case with an individual before the case can be created.
FR-AP-28	The Solution shall enable automatic pre-processing of the data entry for an appeals request, in accordance with State defined rules.	Quality Improvement and Compliance Review --- AP 1.1.2.3 --- Pre-Process Appeal Request	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.10	Our solution can be customized to automatically pre-processes the data entry for the members that we already have information for. Our solution can also be customized to add business rules validation to validate the data needed for pre-processing the appeals data.
FR-AP-29	The Solution shall have the ability to generate a pre-processing report in accordance with State-defined rules and template, that indicates the checkpoints evaluated and the results for each checkpoint.	Quality Improvement and Compliance Review --- AP 1.1.2.3 --- Pre-Process Appeal Request	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.11	Our solution provides the capability to display the status of multiple check points during the lifecycle of an appeals case. Our solution can be customized to display the current checkpoint of the appeal using our appeals screens.



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FR-AP-30	The Solution shall allow user roles, as defined by the State, to have a 'split-screen' concurrent view of both the image of a scanned item (verification document, medical record, correspondence) and the meta-data index of the item, such as item description, with appropriate meta-data fields editable.	Quality Improvement and Compliance Review --- AP 1.1.2.4 --- QIC Review	Appeals	H				Out of the Box	Release 2	Appendix 3, Section 1.5.7	Our solution provides the capability for the users to view the documents for a particular client or case through the Document management system. Our solution currently allows dual monitor capabilities which users can view the document in one monitor and then update the metadata information on the other.
FR-AP-31	The Solution shall have the ability to prohibit user roles, as defined by the State, from editing auto-populated data fields.	Quality Improvement and Compliance Review --- AP 1.1.2.4 --- QIC Review	Appeals	H				Configuration	Release 2	Appendix 3, Section 1.5.4	Our NextGen solution prevents select users, based on role and privileges, from modifying pre-populated appeal request information as part of the QIC process.
FR-AP-32	The Solution shall have the ability to enable specific user roles to 'pause' the Appeals Process Clock, while still protecting the auto-populated field from being edited.	Quality Improvement and Compliance Review --- AP 1.1.2.4 --- QIC Review	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.3	The NextGen Process Clock is automatically engaged once the Appeal process is started. Engaging the Process Clock allows the system to automatically populate due dates and to set deadlines for completing certain actions. Authorized users with specified privileges may request extensions, or put the clock on hold in specific scenarios, configured in the rules engine. In particular, we will customize our solution to enable specific user roles to 'pause' the Appeals Process Clock, while preventing updates to auto-populated fields.
FR-AP-33	The Solution shall have the ability to automatically generate and distribute, on a configurable frequency defined by the State, a batch log containing data entry errors requiring resolution.	Quality Improvement and Compliance Review --- AP 1.1.2.5 --- Send Error Log to TNHC	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.10	Our NextGen solution will be customized to automatically generate and distribute a batch log containing data entry errors from the QIC process requiring resolution based on a configurable batch schedule.



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FR-AP-34	The Solution shall allow user roles, as defined by the State, to edit/update the appeals request data entry.	Quality Improvement and Compliance Review --- AP 1.1.2.6 --- Correct Errors	Appeals	H				Configuration	Release 2	Appendix 3, Section 1.5.4	Our NextGen solution allows authorized users, based on role and privileges, to edit and update Appeals Request data or access specific screens.
FR-AP-35	The Solution shall automatically transmit updated appeals requests into the pre-processing checkpoint.	Quality Improvement and Compliance Review --- AP 1.1.2.7 --- Send Updated Appeal Request	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.11	Our NextGen solution can be customized to trigger the pre-processing of an appeal request after a user closes his/her task associated with resolving errors identified from the QIC review.
FR-AP-36	The Solution shall implement an appeals-related workflow to address the ART/AIR Research and Resolution process.	Review --- AP 1.1.3 --- ART/AIR Research and Attempt to Resolve	Appeals	H				Custom - Moderate	Release 2	Appendix 3, Section 1.5.11	Our NextGen solution presents users with a dynamic appeals-related workflow to address the Hearing process, from the Appeal Request to the Resolution/Order Implementation process through the Hearing Preparation process. In particular, our solution can be customized to implement an appeals-related workflow to address the ART/AIR Research and Resolution process.
FR-AP-37	The Solution shall allow user roles, as defined by the State, to enter a decision regarding whether or not an appeal request was received within the appropriate time limit, by providing the user with a recommendation regarding timeliness, based upon State defined timeliness rules. (Note that the timeliness rules for an appeal request are different then the timeliness rules for continuation of benefits.)	Review --- AP 1.1.3 --- ART/AIR Research and Attempt to Resolve	Appeals	H				Configuration	Release 2	Appendix 3, Section 1.5.4	Our NextGen solution allows authorized users, based on role and privileges, to enter a timeliness decision. The system automatically provides those users with a recommendation regarding timeliness, based upon State defined timeliness rules.



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FR-AP-38	The Solution shall allow user roles, as defined by the State, to enter a decision regarding whether or not the appeal can be resolved through research (ART/AIR resolution).	Review --- AP 1.1.3 --- ART/AIR Research and Attempt to Resolve	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.4	Our solution can be customized to include screens for the ART/AIR resolution process. The screen will also allow appeals worker to enter data regarding the decision of the ART/AIR resolution process.
FR-AP-39	The Solution shall have the ability to automatically and manually generate a draft Appeal Information Packet, which includes all supporting evidence within TEDS that is relevant to the associated application, in accordance with business rules for each 'benefit program type' or other criteria, as defined by State.	ART/AIR --- AP 1.1.3.1 --- Generate Draft Appeals Packet	Appeals	H	200.055	Appeals		Custom - Moderate	Release 2	Appendix 3, Section 1.5.6	Through NextGen' s Generate Manual Correspondence screen, authorized users have the ability to manually generate notices and forms according to the State-defined templates. Users will be able to select specific documents to generate a draft Appeal Information Packet. We will also customize our NextGen solution to automatically generate a draft Appeal Information Packet to include supporting evidence within TEDS that is relevant to the associated application, in accordance with business rules for each "benefit program type" or other criteria, as defined by the State. Our solution provides the capability to store the documents into the state's Electronic Content Management system.
FR-AP-40	The Solution shall have the ability to manually re-generate the Appeal Information Packet (with version control), which will incorporate into a State-defined template (print layout) the changes/edits made to the draft.	ART/AIR --- AP 1.1.3.1 --- Generate Draft Appeals Packet	Appeals	H	200.055	Appeals		Custom - Easy	Release 2	Appendix 3, Section 1.5.6	Through NextGen' s Generate Manual Correspondence screen, authorized users have the ability to manually re-generate an Appeals Information Packet. Authorized users will search for Appeals Information Packet for a given appeal case and request reprinting of the packet. Our NextGen solution includes functionality to capture each instance that a correspondence or form is printed/generated. If the user needs to make changes to the appeal packet by removing documents or adding documents, the system will store the updated packet as a new version.



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FR-AP-41	The Solution shall enable 'user drag and drop' capability to associate a selected individual's existing linked documents into an appeals case folder.	ART/AIR --- AP 1.1.3.2 --- Review TEDS Appeals Information	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.7	Whether generated within our NextGen solution or scanned and imported to it, all documentation can be stored and processed within the solution, tied to an appeal case, and accessed at any time by State-defined user roles through the Document Management module on the left Navigation and accessing the Electronic Case File (ECF). Our Electronic Case File screen comes up with an appeals tab that specifically displays appeals related documents to the user. Our solution can be customized to add capability for the users to move documents using multi select check boxes and 'Move' button capabilities.
FR-AP-42	The Solution shall enable 'user selection' capability to associate a selected individual's application information into an appeals case folder.	ART/AIR --- AP 1.1.3.2 --- Review TEDS Appeals Information	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.7	As defined in the requirement FR-AP-41 Our solution can be customized to allow the workers to move a document into the appeals case folder. In that same screen we will also provide the users a capability to select the documents.
FR-AP-43	The Solution shall allow user roles, as defined by the State, to view specific appeals-related data fields, or groups of specific data fields (i.e. 'screens' or 'pages') of data.	ART/AIR --- AP 1.1.3.2 --- Review TEDS Appeals Information	Appeals	H				Out of the Box	Release 2	Appendix 3, Section 1.5.4	Our NextGen solution allows authorized users, based on roles and privileges, the ability to view specific appeals-related data fields and/or screens.
FR-AP-46	The Solution shall allow user roles, as defined by the State, to edit/update a Draft Information Packet, while protecting appropriate fields from being changed.	ART/AIR --- AP 1.1.3.5 --- Edit / Update Draft Packet	Appeals	H				Out of the Box	Release 2	Appendix 3, Section 1.5.4	As defined in requirement FR-AP-39, our solution provides the capability to edit/update a Draft Information Packet. Not all data fields or screens of our NextGen solution are available for all users to see, hence effectively prohibiting certain sets of users from accessing specific data but still allowing authorized users to update the information.



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FR-AP-47	The Solution shall have the ability to generate an appeals-related Request for Additional Information notice. (The content and layout of this notice is different from an application-related verification request for information.)	ART/AIR --- AP 1.1.3.6 --- Request for Additional Information	Appeals	H	200.055	Appeals		Out of the Box	Release 2	Appendix 3, Section 1.5.6	We will customize our solution to generate a verification notice for members if the users cannot verify data using external systems. By adding new elements to the appeals review screen, our solution will provide the user the ability to record the verification data. When a user records the data as unverified, our solution will automatically generate a notice to the member.
FR-AP-48	The Solution shall allow user roles, as defined by the State, to generate a Request for Information, pre-populated with values, in accordance with State-defined template.	ART/AIR --- AP 1.1.3.6 --- Request for Additional Information	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.6	As defined in the requirement FR-AP-47 our solution will be customized to generate an automatic request for information notice. Additionally Our NextGen solution provides authorized users, based on roles and privileges, with the ability to manually generate the Request for Additional Information notice. Users will navigate to the Generate Manual Correspondence screen and select the Request for Additional Information Notice. The user will then search by either an Eligibility Case number or an Appeal Case number and select the correct individual from the returned results to generate the notice.
FR-AP-51	The Solution shall store applicant information and verifications received as part of an appeals case separately from the verifications stored for the eligibility case information.	ART/AIR --- AP 1.1.3.9 --- Store Provided Information	Appeals	H				Out of the Box	Release 2	Appendix 3, Section 1.5.4	In our NextGen solution, the information captured through the Appeals Intake screens is stored separately from the regular Eligibility Case information. In particular, verifications received are stored under a separate folder of the Electronic Case File.
FR-AP-52	The Solution shall have the ability to generate a Request to Withdraw Appeal Form, pre-populated with appropriate information, and merged into a resolution notice packet.	ART/AIR --- AP 1.1.3.10 --- Send Resolution Information and Form to Withdraw	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.6	Our solution has the capability to mail different types of documents together in single packet. We will configure our solution to generate a pre-populated withdrawal appeal form, containing information stored in TEDS from the appeal case, when the system sends a resolution notice packet.



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FR-AP-54	The Solution shall allow user roles, as defined by the State, to enter a decision regarding whether or not the appeal is a valid factual dispute.	Review --- AP 1.1.4 --- VFD Review	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.4	As defined in requirement FR-AP-37 our solution will be customized to allow user roles as defined by the State, to enter a decision on the factual Dispute review of appeals.
FR-AP-55	The Solution shall provide the ability to associate multiple applicants to a single appeal request, and to status an applicant's appeal as 'dismissed', when the appeals review process decides that certain applicants are not all on the same eligibility case and same application.	Review --- AP 1.1.4 --- VFD Review	Appeals	H	200.055	Appeals		Custom - Easy	Release 2	Appendix 3, Section 1.5.12	Our solution provides the capability to associate multiple applicants to an appeals case. We will customize our solution to remove an applicant from the appeal by adding a new status as dismissed, if decided by authorized users circumstances. Our solution will also be customized to allow authorized users capture a reason for the circumstance including the applicants not being in the same application or eligibility case.
FR-AP-56	The Solution shall allow user roles, as defined by the State, to generate a Confirmation of Withdrawal, pre-populated with values, in accordance with State-defined template.	Review --- AP 1.1.5 --- Closure Notice	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.6	Our solution can be customized to allow authorized users, based on roles and privileges, with the ability to generate a Confirmation of Withdrawal, pre-populate with appeals case information from TEDS.



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FR-AP-57	The Solution shall implement an appeals-related workflow to address the Hearing process.	Appeals --- AP 1.2 --- HearingHearing - -- AP 1.2.6 --- Review Continuanance RequestHearing --- AP 1.2.12 --- Order Implementation Unit (OIU) Preliminary Review	Workflow Management	H	200.055	Appeals		Configuration	Release 2	Appendix 3, Section 1.5.11	We will customize our NextGen solution to build the following workflows to address the hearing process. Our dynamic workflow provides the capability to identify the next steps and owners based on the outcome of the previous one.1. Workflow to receive the Notice of Hearing from member.2. Workflows to accept and reject continuation of benefits from the members.3. Issue Continuanance and Denial orders based on the Pre Hearing Continuanance.4. Workflows to conduct the Hearing process.5. Workflows to perform post hearing.We will also be customize our screens to capture the necessary data elements required for the above workflows.
FR-AP-58	The Solution shall implement an appeals-related workflow to address the Hearing Preparation process.	Hearing --- AP 1.2.1 --- Hearing Prep	Appeals	H	200.055	Appeals		Configuration	Release 2	Appendix 3, Section 1.5.11	As defined in requirement FR-AP-57, our solution will customize dynamic workflows to address the hearing process including the Hearing preparation workflow. The Hearing preparation workflow includes generation of Notice of Hearing (NOH), Attorney Reviews and the distribution of the NOH.



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FR-AP-59	<p>The Solution shall allow user roles, as defined by the State, to view a case summary of appeal information, including but not limited to:</p> <ul style="list-style-type: none"> i. Appellant name/birthdate/mailling address ii. Application date of associated application iii. Benefits effective date iv. Application intake channel v. H15 application date for FFM Transfers, as defined by State vi. Appeal reason category vii. Current status in the workflow viii. Currently assigned owner of the appeals task ix. Due date for current task x. Days overdue, days since appeal was filed xi. Date appeal filed xii. Flag indicator for election of benefits continuation xiii. End date of coverage xiv. Date eligibility notice was sent xv. Last activity case note xvi. Process Clock value and clock attribute value (Continuance or No Continuance). 	Hearing --- AP 1.2.1 --- Hearing Prep	Appeals	H				Configuration	Release 2	Appendix 3, Section 1.5.12	<p>Once users have identified the Appeals Case of interest, our NextGen solution allows them to view a case summary of appeal information on the Add/Maintain Appeals Case screen, as well as to review the address on the subsequent screen, Case Address. Our solution will be customized to display all of the case summary of appeal information listed in FR-AP-59.</p>



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FR-AP-60	The Solution shall allow user roles, as defined by the State, the ability to search for appeal information, based upon State-defined criteria including but not limited to: i. Appellant's SSN ii. Appellant's name.	Hearing --- AP 1.2.1 --- Hearing Prep	Appeals	H				Out of the Box	Release 2	Appendix 3, Section 1.5.12	Our NextGen solution provides authorized users with the ability to search for appeal information by eligibility case, appeal case, appellant SSN, Client Index Number and Appellant Name.
FR-AP-61	The Solution shall enable automatically cancelling an appeals hearing, based upon appeal being withdrawn before the NOH was sent to appellant.	Hearing Prep --- AP 1.2.1.1 --- Schedule Hearing Docket	Appeals	H	200.055	Appeals		Custom - Easy	Release 2	Appendix 3, Section 1.5.13	Our NextGen solution will be customized to cancel the appeal hearing when an appeal withdrawal has been recorded for the given appeal. Our solution provides the ability for a user to capture the withdrawal on the appeals intake screen.
FR-AP-62	The Solution shall enable automatic prompts to aid user re-scheduling an appeal hearing, through State-defined rules including but not limited to: 'soonest resource available date for specific resource', 'soonest team available date' and/or 'case weight'. Resources are based upon the availability calendar for each member of a team for each event (including but not limited to: an Administrative Judge, a Resolution Specialist, and a Litigation Attorney).	Hearing Prep --- AP 1.2.1.1 --- Schedule Hearing Docket	Appeals	H				Custom - Difficult	Release 2	Appendix 3, Section 1.5.13	Our NextGen solution leverages employees' calendars and availability module and is customizable to enable automatic prompts to aid user schedule and reschedule hearings. Our scheduling module and business rules is customizable to aid the appeals work schedule the appointment based on soonest resource and team availability. Our solution's employee calendar module can be leveraged to build schedule for multiple concerned parties of the hearing including the Administrative Judge, Resolution Specialist and Litigation Attorney.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-AP-63	The Solution shall enable automatic docket scheduling based upon the availability calendars of resources selected for the specific hearing event and case weight.	Hearing Prep --- AP 1.2.1.1 --- Schedule Hearing Docket	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.13	Our NextGen solution provides the capability for appeals users to enter their schedule using the employee calendar. While scheduling a hearing appointment, our solution will be customized to display the available workers based on the hearing date.
FR-AP-64	The Solution shall enable manual scheduling and manual over-ride of the docket based on state defined roles, including ability to manually book resources, including persons and rooms, for the same time slot, or to add/delete resources for a specific hearing event.	Hearing Prep --- AP 1.2.1.1 --- Schedule Hearing Docket	Appeals	H				Out of the Box	Release 2	Appendix 3, Section 1.5.13	Our solution provides the capability for appeals user to manually schedule an appointment and also to reschedule the appointments using the Schedule Appointment module.
FR-AP-65	The Solution shall enable appropriate roles to have the ability to assign the same person for multiple simultaneous hearings/conferences and multiple hearings/conferences for the same room/venue.	Hearing Prep --- AP 1.2.1.1 --- Schedule Hearing Docket	Appeals	H				Out of the Box	Release 2	Appendix 3, Section 1.5.13	AS defined in requirement FR-AP-62, our solution can be customized to allow users to schedule the same person for multiple hearing conferences based on the employee calendar and schedule appointment screens.



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FR-AP-66	<p>The Solution shall enable sending appointment alerts via email and any other channels defined by State, to notify individuals and resource pools, as defined by State. Alert information will include, but is not limited to:</p> <p>i. Type of Alert:</p> <p>1-Appeals Hearing Scheduled</p> <p>2-Resource Availability Changed; Hearing Reschedule Required</p> <p>3-Appeals Hearing Updated (date, room or team change)</p> <p>4-Appeals Hearing Cancelled</p> <p>ii. Hearing type (phone/in person) location,</p> <p>iii. Hearing date/time,</p> <p>iv. Interpreter Needed/Not needed,</p> <p>v. Appellant representation, and</p> <p>vi. Appeal issue type</p>	Hearing Prep --- AP 1.2.1.1 --- Schedule Hearing Docket	Appeals	H	200.055	Appeals		Configuration	Release 2	Appendix 3, Section 1.5.9	Our solution provides the capability to send notices for hearings to all the concerned parties including appellant, judge, resolution specialist and litigation attorney The notice includes information including date and time, hearing type and other details listed in the requirement. We will customize our solution to alert the concerned parties by email. Our screens will also be customized to capture information including the preference of communication and the details related to it.
FR-AP-67	<p>The Solution shall enable associating docket schedule of hearings to specific appeal cases, and link appeal cases to docket schedule. This includes the ability to consolidate 'linked appeals' (multiple appealing individuals within a</p>	Hearing Prep --- AP 1.2.1.1 --- Schedule Hearing Docket	Appeals	H				Out of the Box	Release 2	Appendix 3, Section 1.5.13	Our solution's scheduling module provides the functionality for users to associate a docket to an appeals case. Our solution also provides the ability to schedule group appointments thereby allowing multiple appealing individuals within the same docket.



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	single household) into a single hearing.										
FR-AP-68	The Solution shall have the ability to regenerate the Draft Information Packet if information has been edited.	Hearing Prep --- AP 1.2.1.2 --- Edit/Update Draft Information Packet	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.6	As defined in requirement FR-AP-39, our solution provides the capability to edit/update a Draft Information Packet. Not all data fields or screens of our NextGen solution are available for all users to see, hence effectively prohibiting certain sets of users from accessing specific data but still allowing authorized users to update the information.
FR-AP-69	The Solution shall enable selecting specific linked documents (not all documents within appeals case) to be included as part of the Information Packet.	Hearing Prep --- AP 1.2.1.3 --- Assemble Information Packet	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.8	As defined in requirement FR-AP-41 and FR-AP-42 our solution will be customized to provide the user the capability to link documents to an appeals case folder using drag and drop functionalities. Our solution will also be customized to include the documents in the folder to be part of the Information packet.
FR-AP-70	The Solution shall allow user roles, as defined by the State, to enter a decision regarding whether or not an Appeals Information Packet is approved for internal distribution.	Hearing Prep --- AP 1.2.1.4 --- Review Information Packet	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.4	Our solution can be customized to allow authorized users to enter a decision on the distribution of appeals information packet. Additionally our solution is customizable to allow workflow rules engine to route the packets and alerts the concerned parties via notices or emails.
FR-AP-71	The Solution shall allow user roles, as defined by the State, to enter a decision regarding whether or not the Appeals Information Packet is authorized to proceed for attorney review, or else identify the issues that need to be resolved before	Hearing Prep --- AP 1.2.1.4 --- Review Information Packet	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.4	Our workflow rules engine can be customized to route the appeals information packet to Attorney review based on the decision entered by the appeals worker using our module. Additionally our solution is customizable to capture the communication preferences of the attorney and also alert them based on the same.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
	submitting for a team hearing prep review.										
FR-AP-72	The Solution shall enable access to appeals case information on State defined rules, including a combination of user roles and a configurable value for days prior to scheduled hearing.	Hearing Prep --- AP 1.2.1.4 --- Review Information Packet	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.12	Our solution provides the ability for users to search for appeals related information using our appeals inquiry module. Our solution will also be customized to enforce a business rule that will allow the workers the access to an appeals case based on a configurable timeframe
FR-AP-73	The Solution shall enable organization of documents, records, etc. that are linked to the appeals case using State defined rules, including but not limited to: -folder or tree hierarchy by user-role (including but not limited to user - role folders for Admin Judge, Attorney, and Appeals Specialist) -default sorted list view by criteria such as document date and document description -ability for user to define personal default sort view -ability for user to sort document list	Hearing Prep --- AP 1.2.1.4 --- Review Information Packet	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.7	Our NextGen solution provides the users the capability to view documents using the Document Inquiry and Electronic Case File (ECF) Management screen. The ECF module displays all appeals related documents in a separate appeals folder and our solution will be customized to provide users to define default sort views.



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FR-AP-74	The Solution shall have the ability to generate a Draft Notice of Hearing, automatically populating values, in accordance with State defined templates.	Hearing Prep --- AP 1.2.1.5 --- Generate Draft Notice of Hearing	Appeals	H	200.055	Appeals		Configuration	Release 2	Appendix 3, Section 1.5.6	Our NextGen solution has the capability to automatically generate a notice of hearing correspondence, pre-populated with appeals information contained in TEDS, when the appeals worker completes entering the required data needed for processing. We will configure as per the state defined templates.
FR-AP-75	The Solution shall allow user roles, as defined by the State, to enter a decision regarding whether or not the Appeals Information Packet has completed the attorney review and is ready for distribution to an appellant, or else identify the issues that need to be resolved before submitting for an attorney review.	Hearing Prep --- AP 1.2.1.6 --- Attorney Review	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.4	As defined in requirement FR-AP-71 our workflow rules engine is customizable to route the appeals information packet to appellant based on the Attorney review. Our solution can be customized to capture the communication preferences of the appellant and also alert them based on the same.
FR-AP-76	The Solution shall automatically generate appeals/fair hearing correspondence to all appropriate recipients, per state policy.	Hearing Prep --- AP 1.2.1.7 --- Distribute NOH	Appeals	H				Configuration	Release 2	Appendix 3, Section 1.5.8	Our solution provides the capability to automatically send notices to all concerned parties. Our solution also can be configured to send the alerts to appellants and their authorized representatives.
FR-AP-77	The Solution shall enable automatic generation of a Notice of Hearing per State-defined template, that includes populating values for, but is not limited to: i. Hearing date/time/location ii. Assigned Administrative Judge iii. Assigned Attorney	Hearing Prep --- AP 1.2.1.7 --- Distribute NOH	Appeals	H				Configuration	Release 2	Appendix 3, Section 1.5.6	Our NextGen solution can be customized to generate a notice of hearing automatically with the information currently generated by the TEAMS system including the elements mentioned in requirement FR-AP-77



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	iv. Whether or not appellant has elected for benefits to continue during appeal period.										
FR-AP-78	The Solution shall allow user roles, as defined by the State, to access appeals information and automatically release access to the assigned Administrative Judge based upon an a configurable value of 'x days prior to a scheduled hearing'.	Hearing Prep --- AP 1.2.1.8 --- Release Case Information to Administrative Judge for Review	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.12	Our solution can be customized to automatically release access to the Appeals Case information to the assigned Administrative Law Judge (ALJ) based upon a configurable value of days preceding a scheduled hearing. We will customize our solution to generate a task to the ALJ based on a configurable number of days driven out of our reference table.
FR-AP-79	The Solution shall have the ability to automatically send the same Information Packet to the appellant's authorized representative, guardian and/or attorney, if applicable for the appellant, in addition to the packet that is sent for the appellant.	Hearing Prep --- AP 1.2.1.9 --- NOH and Information Packet	Appeals	H				Out of the Box	Release 2	Appendix 3, Section 1.5.8	Our NextGen solution will automatically send the Appeal Information Packet to the appellant's authorized representative, guardian and/or attorney when the packet is sent to the appellant.



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FR-AP-80	The Solution shall allow user roles, as defined by the State, to generate a Notice of Hearing and Orders, pre-populated with values, in accordance with State-defined template.	Hearing Prep --- AP 1.2.1.9 --- NOH and Information Packet	Appeals	H				Out of the Box	Release 2	Appendix 3, Section 1.5.6	Our solution provides authorized users, based on roles and privileges, with the ability to manually generate a Notice of Hearing and Orders by selecting the correspondence type and the individuals to whom the NOH and Orders should be sent. The system will pre-populate the NOH and Orders with appeal case information contained within TEDS.
FR-AP-81	The Solution shall enable ability of users (based upon roles) to view case information, and to enter comments/update appeals case notes.	Hearing Prep --- AP 1.2.1.10 --- Review Case Info	Appeals	H				Out of the Box	Release 2	Appendix 3, Section 1.5.12	Our NextGen solution provides authorized users, based on roles and privileges, with the ability to access and review appeals case information. The system also restricts or grants access to update appeal case information and appeal case comments according to the user's roles and privileges.
FR-AP-87	The Solution shall have the ability to generate an Issue Continuance Order, pre-populated with appropriate appeals information, when a Judge indicates that review has been completed and decision is to approve the request.	Hearing --- AP 1.2.7 --- Issue Continuance Order	Appeals	H	200.055	Appeals		Custom - Easy	Release 2	Appendix 3, Section 1.5.6	Our NextGen solution provides the ability to generate an Issue Continuance Order, pre-populated with appropriate appeals information, when a judge indicates that review has been completed and decision is to approve the request. Our solution can be customized to design the notices and the static and dynamic fields of the notices as per state defined templates.



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FR-AP-88	The Solution shall have the ability, at Administrative Judge's option, to either: 1. Generate an Issue Continuance Order, pre-populated with appropriate appeals information, or 2. Edit Continuance Content, which will be merged into a new Notice Of Hearing at a subsequent workflow step. The choice for either option is triggered per specific appeals case when a Judge indicates that his review has been completed and has entered the decision to approve the Continuance request.	Hearing --- AP 1.2.7 --- Issue Continuance Order	Appeals	H				Custom - Moderate	Release 2	Appendix 3, Section 1.5.6	As defined in requirement FR-AP-87, our NextGen solution allows an Administrative Judges to indicate that their review has been completed and the decision has been entered approve the Continuance Request. Based on the choice made by the Administrative Judges, our NextGen solution is customizable to automatically either generate an Issue Continuance Order, pre-populated with appropriate appeals information or to edit Continuance Content and generate a new Notice of Hearing.
FR-AP-89	The Solution shall have the ability to generate a Denied Request for Continuance Decision, pre-populated with appropriate appeals information, when a Judge indicates that review has been completed and decision is to deny the request.	Hearing --- AP 1.2.8 --- Deny Continuance Order	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.6	Our NextGen solution provides the ability to generate an Denied Request for Continuance Request, pre-populated with appropriate appeals information, when a judge indicates that review has been completed and decision is to deny the request. Our solution can be customized to design the notices and the static and dynamic fields of the notices as per state defined templates.
FR-AP-92	The Solution shall have the ability to generate Post-Hearing Initial Orders, automatically populated with	Hearing --- AP 1.2.11 --- Post-Hearing Initial Order	Appeals	H	200.055	Appeals		Custom - Easy	Release 2	Appendix 3, Section 1.5.6	Our NextGen solution provides the ability to generate an Post Hearing Initial Orders pre-populated with appropriate appeals information once the decision has been made. Our solution can be customized to design the notices and the static and dynamic fields of the notices as per state defined templates.



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	values, in accordance with State-defined template.										
FR-AP-94	The Solution shall implement an appeals-related workflow to address the Petition process.	Appeals --- AP 1.3 --- Petition	Appeals	H	200.055	Appeals		Custom - Moderate	Release 2	Appendix 3, Section 1.5.11	<p>Our NextGen solution can be customized to build the following workflows to address the petition process. Our dynamic workflow provides the capability to identify the next steps and owners based on the outcome of the previous one. As part of the petition process we will customize the following workflows</p> <ol style="list-style-type: none"> 1. Workflow to intake the petition request. 2. Workflow to address petition assignment 3. Workflows to send petitions to County Directors 4. Workflows to review petitions 5. Workflows to create final orders <p>We will also be customize our screens to capture the necessary data elements required for the above workflows.</p>
FR-AP-95	The Solution shall have the ability to generate a Petition, automatically populating values, in accordance with State defined templates for multiple petition types.	Petition --- AP 1.3.1 --- Create Petition	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.6	<p>Our NextGen solution has the capability to automatically generate notices and forms based on predefined sets of rules and triggers. Our solution can be customized to automatically generate a Petition, automatically populated with values, in accordance with the State-defined template.</p>



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-AP-96	The Solution shall allow user roles, as defined by the State, to generate various petitions, (pre-populated with appropriate values), including but not limited to: i. Petition For Reconsideration ii. Petition For Appeal iii. Petition for Reconsideration of a Final Order	Petition --- AP 1.3.1 --- Create Petition	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.6	As defined in the requirement FR-AP_95 our solution will be customized to generate notices for the petition process. We will also customize the types of petitions based on the input provided by the appeals worker on our appeals screen.
FR-AP-100	The Solution shall allow user roles, as defined by the State, to view the image of a printed request for petition, while simultaneously viewing case information, and to enter comments/update appeals case notes.	Petition --- AP 1.3.5 --- Review Petition Petition --- AP 1.3.9 --- Review Petition for Appeal	Appeals	H				Out of the Box	Release 2	Appendix 3, Section 1.5.7	Our solution provides the capability for the workers to view the documents for a particular client or case through the state's Document management system. Our solution currently allows dual monitor capabilities using which the users can view the document in one monitor and then view the case information on the other.
FR-AP-101	The Solution shall have the ability to generate orders regarding petitions, automatically populating values, in accordance with State defined templates for multiple petition types.	Petition --- AP 1.3.6 --- Create Order by Admin Judge	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.6	Our NextGen solution has the capability to automatically generate notices and forms based on predefined sets of rules and triggers. Our solution can be customized to automatically generate orders regarding petitions, automatically populated with values, in accordance with the State-defined template.
FR-AP-105	The Solution shall have the ability to generate a Commissioner's final orders, automatically populating values, in accordance with State defined template.	Petition --- AP 1.3.10 --- Create Commissioner's Final Order	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.6	Our NextGen solution has the capability to automatically generate notices and forms based on predefined sets of rules and triggers. Our solution can be customized to automatically generate commissioners final order notices, automatically populated with values, in accordance with the State-defined template.



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FR-AP-109	The Solution shall implement an appeals-related workflow to address the Resolution/Order Implementation process.	Appeals --- AP 1.4 --- Resolution/Order Implementation	Appeals	H	200.055	Appeals		Custom - Easy	Release 2	Appendix 3, Section 1.5.11	<p>Our solution can be customized to build the following workflows to address the Resolution/ Order Implementation process. Our dynamic workflow provides the capability to identify the next steps and owners based on the outcome of the previous one. As part of the Resolution/ Order Implementation workflow we will customize the following workflows.</p> <ol style="list-style-type: none"> 1. Workflow to review the order 2. Workflow Implement the order 3. Workflows to update the member eligibility and appeals case 4. Workflows trigger enrollment based on the outcome <p>Our screens can be customized to capture the necessary data elements required for the above workflows.</p>
FR-AP-110	The Solution shall enable multiple orders to be associated to an appeal case.	Appeals --- AP 1.4.1 --- Review the Order and Plan Implementation	Appeals	H				Configuration	Release 2	Appendix 3, Section 1.5.11	We will customize our solution to generate multiple orders based on the outcome of an appeals hearing. Our solution will also provide the capability to associate the multiple orders to an appeals case.
FR-AP-111	The Solution shall allow user roles, as defined by the State, to edit appeal case notes. (Appeal case notes are a separate log from eligibility case notes log.)	Appeals Order Implementation -- - AP 1.4.2 --- Implement Orders or Resolution to Appeal Case	Appeals	N/A				Configuration	Release 2	Appendix 3, Section 1.5.7	Our user based access functionality allows specific user roles defined by the State to access and edit appeal case notes. Our solution can be configured to maintain a separate case notes for the eligibility and the appeals case.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-AP-114	The Solution shall have the ability for appropriate roles, as a user-selected option for any appeals case, to either: - Forward the closed appeal to Eligibility Determination processes, for re-running the eligibility rules and sending an eligibility determination notice, - Or, to run the same eligibility determination rules engine in a one-off calculation process which informs the Appeals Case Worker of the eligibility result (without implementing the determination).	Appeals Order Implementation -- - AP 1.4.3 --- Update Member Application / Eligibility Case	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.11	Our solution, based on user access will provide authorized users to request eligibility determination for a case by creating a manual task using our Reception Task Management module. Our solution also provides role based access to allow certain appeals users to run eligibility. Our system can be configured to allow eligibility workers to review and certify the results of eligibility for cases that were processed by appeals workers.
FR-AP-115	The Solution shall allow user roles, as defined by the State, to over-ride eligibility determination automated rules, sending an input to Enrollment/Disenrollment processes.	Appeals Order Implementation -- - AP 1.4.3 --- Update Member Application / Eligibility Case	Appeals	H				Out of the Box	Release 2	Appendix 3, Section 1.5.11	Our NextGen solution allows user roles, as defined by the State, to over-ride eligibility determination automated rules using our NextGen's Eligibility Override screens. This process creates triggers automatically to be sent to the MMIS vendors.
FR-AP-116	The Solution shall have the ability to flag the reinstatement (or termination) of benefits due to an appeal, (or the denial of an appeal).	Appeals Order Implementation -- - AP 1.4.4 --- Update/Close Appeal	Appeals	H	200.055	Appeals		Configuration	Release 2	Appendix 3, Section 1.5.10	When a final hearing outcome is available our NextGen solution automatically creates a reinstatement alert if the outcome is reinstatement. Our business rules engine can be configured to reinstate the case when the eligibility is evaluated the next time.



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FR-AP-117	The Solution shall have the ability to flag the change of applicant information used to determine eligibility aid category or eligibility outcome (due to an appeal).	Appeals Order Implementation -- - AP 1.4.4 --- Update/Close Appeal	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.10	Our solution can be customized to identify the change of client information as a result of the hearing outcome. The information can be displayed on the appeals screen and can be used by the workers while evaluating them for eligibility
FR-AP-118	The Solution shall have the ability to flag the change of effective date, due to an appeal.	Appeals Order Implementation -- - AP 1.4.4 --- Update / Close Appeal	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.10	When a final hearing outcome is available our NextGen solution automatically creates a reinstatement alert if the outcome is change of effective date. Our business rules engine can be customized to reinstate the case when the eligibility is evaluated the next time.
FR-AP-119	The Solution shall have the ability to automatically update the eligibility case 'has open appeal' status flag (from 'Yes' to 'No'), when all appeals associated with an eligibility case are all in 'closed' status.	Appeals Order Implementation -- - AP 1.4.4 --- Update / Close Appeal	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.10	As defined in requirement FR-AP-25 our solution will be customized to flag an eligibility case with an open appeals status when the eligibility case is associated with an appeals case. We will also customize our solution to remove the flag when the appeals case is closed after taking the necessary actions.



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FR-AP-120	The Solution shall implement an appeals-related workflow to address the Continuation of Benefits process.	Appeals --- AP 1.5 --- Continuation of Benefits	Appeals	H	200.055	Appeals		Custom - Moderate	Release 2	Appendix 3, Section 1.5.11	<p>Our NextGen solution can be customized to build the following workflows to address the Continuation of Benefits process. Our dynamic workflow provides the capability to identify the next steps and owners based on the outcome of the previous one. As part of the Continuation of Benefits process flow we will customize the following workflows.</p> <ol style="list-style-type: none"> 1. Workflow to review the Continuation of Benefits 2. Workflow to Prevent Termination 3. Workflows trigger enrollment based on the outcome <p>We will also be customize our screens to capture the necessary data elements required for the above workflows.</p>
FR-AP-122	The Solution shall allow user roles, as defined by the State, to enter a decision regarding whether or not a request for continuation of benefits was received within the appropriate time limit, by providing the user with a recommendation regarding timeliness, based upon State defined timeliness rules. (Note the timeliness rules for a continuation of benefits request are different then the timeliness rules for an appeals request.)	Continuation of Benefits --- AP 1.5.1 --- Review for Continuation of Benefits	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.5	Our solution can be customized to allow authorized users to enter a decision on the request for continuance using the appeals screen.



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FR-AP-123	The Solution shall allow user roles, as defined by the State, to enter a decision regarding whether or not the appellant alleged good cause for not filing the request for continuation of benefits in a timely manner.	Continuation of Benefits --- AP 1.5.1 --- Review for Continuation of Benefits	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.5	Our solution can be customized to allow authorized users to enter a decision on the present of good cause for not filing the request for continuance using the appeals screens.
FR-AP-125	The Solution shall allow user roles, as defined by the State, to enter a decision regarding whether or not an appellant had good cause for electing benefits continuation after the allowable time limit.	Continuation of Benefits --- AP 1.5.2 --- Attorney Review	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.5	Our solution can be customized to allow authorized users to enter a decision on the present of good cause for electing to file the request for continuance using the appeals screens.
FR-AP-126	The Solution shall enable updating an eligibility record to prevent termination of benefits until after the hearing process has completed, including implementation of orders.	Continuation of Benefits --- AP 1.5.3 --- Update to Prevent Termination	Appeals	H				Custom - Easy	Release 2	Appendix 3, Section 1.5.5	Our solution can be customized to enables users, to automatically update eligibility records to prevent the termination of benefits until after the hearing process has completed, including the implementation of orders.
FR-AL-001	The Solution shall provide a process to manually create, assign, reassign, update, and delete alerts based on user roles and program rules.		Alerts	H				Out of the Box	Release 1	Appendix 3, Section 1.6.1	Our proposed NextGen Solution allows users, with the proper user roles, to manually create, assign, reassign, update, and delete Alerts. Our solution provides the Manual Alert Generation screen that allows the users to perform these actions.
FR-AL-002	The Solution shall generate alerts to notify user roles, as defined by the State, when case/tasks are assigned based on work flow		Alerts	H				Out of the Box	Release 1	Appendix 3, Section 1.6.1	Our proposed NextGen Solution comes with a number of built-in Alerts which are generated based on a variety of parameters. During design we will work with the state to map the state's needs with the existing alert library and develop a roadmap for addressing any additional alerts that the state would require coming out of design.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
	parameters and program rules.										
FR-AL-003	The Solution shall be capable of automatically assigning and reassigning alerts based on work flow parameters, user roles, program rules and business needs.		Alerts	H				Out of the Box	Release 1	Appendix 3, Section 1.6.1	Our proposed NextGen Solution comes with a number of built-in Alerts which are generated based on a variety of parameters. Certain configurable parameters, related to Alerts, are stored in a reference table format which reduces the effort to update some of the Alert generation parameters. Our proposed solution provides the capability to automatically and manually assign the alerts based on workflow parameters.
FR-AL-004	The Solution shall display alerts, via a dashboard view, based on work flow parameters, user roles and program rules.		Alerts	H				Out of the Box	Release 1	Appendix 3, Section 1.6.2	Our proposed NextGen Solution displays detailed information about Alerts in a variety of ways. A particular user can view a short list of his/her most recent set of Alerts and the total number of outstanding Alerts (of which he/she is a recipient) from many screens in the system. An additional detailed view of Alerts is shown through the Alerts Search functionality.
FR-AL-005	The Solution shall display a detailed alerts, via a dashboard view.		Alerts	H				Out of the Box	Release 1	Appendix 3, Section 1.6.2	Our proposed NextGen Solution displays detailed information about Alerts in a variety of ways. A particular user can view a short list of his/her most recent set of Alerts and the total number of outstanding Alerts (of which he/she is a recipient) from many screens in the system. An additional detailed view of Alerts is shown through the Alerts Search functionality.
FR-AL-006	The Solution shall able to identify, generate, and display alerts, via a dashboard view, for deadlines, pending tasks, overdue actions and other information as defined by the State.		Alerts	H				Out of the Box	Release 1	Appendix 3, Section 1.6.2	Our proposed NextGen Solution comes with a number of built-in Alerts which are generated based on a variety of parameters. Certain configurable parameters, related to Alerts, are stored in a reference table format which reduces the effort to update some of the Alert generation parameters. The alerts dashboard in our proposed solution displays information of the alerts including due dates, status and also highlights the overdue alerts in a red color.



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FR-AL-007	The Solution shall have the ability to sort alerts and tasks, via a dashboard view, based on user roles and program rules.		Alerts	H				Out of the Box	Release 1	Appendix 3, Section 1.6.2	Our proposed NextGen Solution allows users to sort Alerts based on several parameters such as Due Date and Alert Type. The dashboard view allows the users to sort the alerts using the sort icons present on the results summary screen.
FR-AL-008	The Solution shall have the ability to filter alerts and tasks, via a dashboard view, based on user roles and program rules.		Alerts	H				Out of the Box	Release 1	Appendix 3, Section 1.6.2	Our proposed NextGen Solution allows users to filter Alerts based on several parameters such as Due Date and Alert Type. The dashboard view allows the users to filter the alerts by using the search parameters.
FR-AL-009	The Solution shall have the ability to close/archive alerts automatically when required action is complete.		Alerts	H				Out of the Box	Release 1	Appendix 3, Section 1.6.3	Our solution provides batch processes that provides the capability to automatically close alerts based on the rules. Our solution also provides the capability for users to configure an alert to be closed by the system and also by the user.
FR-AL-010	The Solution shall alert users, via a dashboard view, that pending applications, verifications, and tasks have exceeded specified time limits.		Alerts	H				Out of the Box	Release 1	Appendix 3, Section 1.6.2	Our NextGen solution provides the users with an Alerts dashboard capability that displays pending alerts that are overdue. Our Inbox dashboard also provides the capability for pending tasks and allows the worker to process pending applications, verifications and tasks that have exceeded the specific time
FR-AL-011	The Solution shall automatically generate an alert related to deadlines, based on program rules for timeliness.		Alerts	H				Out of the Box	Release 1	Appendix 3, Section 1.6.1	Our NextGen solution provides the capability to automatically generate alerts through our daily, weekly and monthly batch processes.
FR-AL-012	The Solution shall provide the capability to specify the timing and events that trigger automatically generated alerts.		Alerts	H				Out of the Box	Release 1	Appendix 3, Section 1.6.1	Our NextGen solution provides the capability to specify the timing and events for alert generation. For example our solution provides the capability to generate alerts to users for cases that are due for redetermination and have not received information back from clients.
FR-AL-013	The Solution shall allow user roles, as defined by the State, to search for generated alerts.		Alerts	H				Out of the Box	Release 1	Appendix 3, Section 1.6.2	Our solution provides the users the capability to search for alerts using our Search Alerts screen. The screen allows the user to search based on alert types, person id, case number and the alert received and due dates.



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FR-AL-014	The Solution shall not satisfy Alert requirements via generation of reports.		Alerts	H				Out of the Box	Release 1	Appendix 3, Section 1.6	Our proposed NextGen Solution satisfies the Alert module requirements through the use of an Alerts module that works independently of the Reporting functionality.
FR-RE-001	The Solution shall include all reports as required by State and Federal law and regulations.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4. using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box reports and confirm that it aligns with the state requirement.
FR-RE-002	The Solution shall comply with federally mandated reporting timelines.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box reports and confirm that it aligns with the state requirement.



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FR-RE-003	<p>The Solution shall include standard reports, as defined by the State. Standard reports include, but are not limited to the:</p> <ul style="list-style-type: none"> Active Individuals by Program Report Breast and Cervical Cancer Treatment Plan Report Deceased Report Daily Error Detail Report Daily Error Summary Report Pseudo SSN Report Pending Re-verification Report QI Eligible Individuals Report Application Aging Report Low Income Subsidy (LIS) Report LTSS Recipients With Trusts or Annuities Report Applications Disposed with a Time Frame Report COLA Report Applications Report Denials Report Redetermination Report MGMT 2050 Supervisory Report DCS Foster Care and Adoption Assistance Redetermination Report Foster Care and Adoption Assistance Pending Applications Report 		Reports	H				Configuration	Release 1	Appendix 3, Section 1.7	<p>Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4. using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box reports and confirm that it aligns with the state requirement.</p>



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FR-RE-004	The Solution shall allow all user roles, as defined by the State, to create, update, and delete report templates.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7.4	Our proposed ClearLight platform solution provides a special user namely 'Report Publisher' the ability to create, edit or delete the reports .We will provide specific state users the access of a Report Publisher.
FR-RE-005	The Solution shall have the capability to generate and display standard reports that users can view and export, but not customize. Standard reports may include but not limited to: i. Existing reports that are currently generated and published ii. Population centric reports related to member profiles (demographics, geography, etc.)		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4. using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box reports and confirm that it aligns with the state requirement.
FR-RE-006	The Solution shall display a list of standard reports available to the user. The list shall include, but is not limited to: i. Report Title ii. Last Update Date iii. Frequency of Updates		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7.1	Our ClearLight platform solution provides the capability to display a list of standard reports based on the user access. Standard reporting parameters like Report Title, last updated date and the frequency of the report is also displayed to the user



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FR-RE-007 The Solution shall allow users to specify parameters for the report. Parameters may include, but are not limited to: i. Reporting period (last month, last quarter, customized date range, etc.) ii. Population characteristics (age range, gender, program participation, income, FPL, eligibility category) iii. Geography (zip code, region, county, census) iv. Person-based analyses v. Threshold-based and exception reporting vi. Percent change reporting		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7.5	Our ClearLight solution allows users to specify parameters for the report based on the report design. All our reports have standard parameters like reporting period and also custom parameters like geography and population characteristics. Our solution provides the users the capability to specify parameters based on the requirement of the report.
FR-RE-008 The Solution shall allow users to specify one or multiple parameters for reporting.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7.5	As defined in the previous requirement, our ClearLight solution allows users to specify parameters based on reports. Our solution also allows users to specify more than one parameter for the reports.
FR-RE-009 The Solution shall provide the option of saving the report parameters in order to re-run it another time.		Reports	M				Configuration	Release 1	Appendix 3, Section 1.7.5	Our ClearLight solution integrates with the Tableau Server, and provides the capability for a user to easily interact with any visualization and save their own perspective of the data using the 'remember your changes' feature. This will save a custom view that includes all of the changes made including filters, parameters, selections, highlighting, groups, sorting, drill downs and selected tab.



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FR-RE-010	The Solution shall allow queuing of reports to limit interruption of other Solution processes.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7.3	Our solution has been architected in a manner that decouples the reporting solution from the source system. This feature allows the generation of reports without creating any limitations to other Solution processes.
FR-RE-011	The Solution shall allow reports to be generated at any time, without interrupting expected business operations.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7.3	The data is extracted from the source system using a change data capture tool which only captures the changes since the last time the same process ran and checked for data changes. This approach minimizes the load on the source system. All the data changes are moved to a separate database which then becomes the source for all reporting needs. Once the data is extracted in to this database, the source system is freed up and there is no impact or interruption to the business operations
FR-RE-012	The Solution shall have the ability to identify sample selection criteria and pull random report samples.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7.5	Our reporting parameter feature allows the users to select sample selection criteria from any given report. A user would be able to select any random sample based upon population characteristics, region and other parameter options.
FR-RE-013	The Solution shall include version control for all reports.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7.2	Our ClearLight solution maintains versions for all new reports created and modified and allows the users to view the version.
FR-RE-014	The Solution shall provide the capability to present data in graphical and/or GIS map format.		Reports	M				Configuration	Release 2	Appendix 3, Section 1.7.8	Our ClearLight platform Tableau visualization tool has the capability to present data in the graphical / GIS map format.
FR-RE-015	The Solution shall provide the capability for reports to be automatically generated and distributed on a periodic basis.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7.6	Our ClearLight platform Tableau visualization tool allows users to subscribe to reports. It also has the capability to send the users an email of the reports link once they are generated.
FR-RE-016	The Solution shall allow the user to configure report preferences.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7.6	Our solution allows report to be configured with a variety of preferences based on a user choice. It can also be delivered over a variety of channel and platform like browser, mobile, and printable document like pdf



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FR-RE-017	The Solution shall allow users roles, as defined by the State, to subscribe to reports.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7.4	Our ClearLight platform Tableau visualization tool allows users to subscribe to reports. It also has the capability to send the users an email of the reports link once they are generated.
FR-RE-018	The Solution shall allow the user to export reports in a variety of formats, including but not limited to: i. PDF ii. Microsoft Excel iii. Microsoft Word		Reports	H				Configuration	Release 1	Appendix 3, Section 1.7.7	Our solution provides the ability to retrieve the offline version through 'Download' in the form of Image, Data, Crosstab (.CSV), PDF and Tableau workbook used in Desktop version. Further, exporting to image enables one to include it in MS Word or MS PowerPoint for easy porting of reports.
FR-RE-019	The Solution shall provide a printer-friendly version of the generated report.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7.7	Our ClearLight platform solution has the capability to provide the user a printer friendly version of the generated reports with options including Layout, paper scaling and paper size.
FR-RE-020	The Solution shall have the capability to generate a report of all users that access reports and which reports they access.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7.1	The solution is capable of generating a report of all users that access reports and also a report of which reports they have access to.
FR-RE-021	The Solution shall allow users to specify "favorites" and frequently used reports.		Reports	M				Configuration	Release 1	Appendix 3, Section 1.7.1	Our solution allows users to save the reports or views they frequently use as favorite also by clicking bookmark icon in our Tableau visualization tool.
FR-RE-022	The Solution shall allow for the user to sort and filter report data.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7.8	Our solution allows embedding parameters in URLs to preset, filter or sort the data in the published dashboard when sharing. Sorting capabilities are provided at multiple levels including sub-levels. Filtering capability can be presented in a variety of ways such as drop down, selection criteria, and slider.
FR-RE-023	The Solution shall provide the ability to compare the data from one reporting period to another.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7.5	Our solution has the capability to generate a new report to compare reporting periods. This reports serve a summary report and allows users to compare data between specified reporting periods.



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FR-RE-024	The Solution shall have the capability for user roles, as defined by the State, to create user-defined queries via an accessible user interface.		Reports	H				Configuration	Release 2	Appendix 3, Section 1.7.8	Our solution provides State users the capability to generate reports and user-defined queries that meet individual information requirements and views easily on-demand so that end users can drill through report data for powerful information analysis
FR-RE-025	The Solution shall allow user roles, as defined by the State, to save a user-defined queries for future use.		Reports	H				Configuration	Release 2	Appendix 3, Section 1.7.8	The user-defined queries can be saved for further use or can be shared with other users so they can leverage the same query already defined eliminating the duplication of effort.
FR-RE-026	The Solution shall allow user roles, as defined by the State, to share user-defined queries with other users.		Reports	M				Configuration	Release 2	Appendix 3, Section 1.7.8	The user-defined queries can be saved for further use or can be shared with other users so they can leverage the same query already defined eliminating the duplication of effort.
FR-RE-027	The Solution shall allow the user to view and select available data sources for use in a query. Data sources may include, but are not limited to: i. Data within the Solution such as centralized data stores ii. Data within legacy Solutions that are connected to the Solution and may be queried from the Solution iii. Data from other external sources that may be imported for use in the query.		Reports	H				Configuration	Release 2	Appendix 3, Section 1.7	The ClearLight platform supports ODBC and JDBC connection types through which data can be obtained from multiple sources in addition to the data from the data mart.



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FR-RE-028	The Solution shall provide the ability to access reports via a variety of delivery channels (e.g. web, mobile) to meet the varying needs of user roles.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7.1	Our ClearLight solution provides not only standard reports but also interactive dashboards to users via zero-footprint HTML and JavaScript (AJAX) in a web browser, or natively via a mobile app. Our solution supports Internet Explorer, Firefox, Chrome and Safari web browsers.
FR-RE-029	The Solution shall have the ability to run scheduled reports on a set frequency.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7.6	Our solution has the capability to schedule and run the reports on a defined frequency.
FR-RE-030	The Solution shall allow user roles, as defined by the State, to define the frequency and method of report delivery.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7.6	Our scheduling tools allows the users to define the frequency of the reports. Our Tableau platform allows the users to subscribe to the various methods of delivery.
FR-RE-031	The Solution shall have the ability to distribute reports via e-mail.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7.6	Our ClearLight platform integrated with the Tableau visualization tool allows workers to subscribe for reports via email. Once a report is generated an email notification is sent to the user with the link of the reports.
FR-RE-032	The Solution shall allow user roles, as defined by the State, to view available historical versions of the standard reports online.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7.2	Our ClearLight platform allows the users to view a version of all reports using the web. The users have the capability to view the historical reports by searching on the date parameters.
FR-RE-033	The Solution shall generate error reports from mass change processing. The error report for mass change processing shall include, but is not limited to, cases that could not be updated as a result of system wide mass change processing.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box reports and confirm that it aligns with the state requirement.



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FR-RE-034	The Solution shall provide the ability to report on the number of active cases.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box report and confirm that it aligns with the state requirement.
FR-RE-035	The Solution shall generate a report that details the number of applications processed during a configurable timeframe.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box report and confirm that it aligns with the state requirement.
FR-RE-036	The Solution shall generate standardized eligibility reports including, not limited to, applications processed, applications denied, applications approved, members terminated, applicant demographics, and program churning.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box reports and confirm that it aligns with the state requirement.
FR-RE-037	The Solution shall have the ability to generate a report that details application status and duration (time spent in current status).		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box report and confirm that it aligns with the state requirement.
FR-RE-038	The Solution shall have the ability to generate a report on the number of applications received through various channels.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box report and confirm that it aligns with the state requirement.



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FR-RE-039	The Solution shall provide the ability to report on cases that are approaching timeliness deadlines.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box report and confirm that it aligns with the state requirement.
FR-RE-040	The Solution shall produce a report on eligibility determinations and redeterminations that are due or past due.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box report and confirm that it aligns with the state requirement.
FR-RE-041	The Solution shall provide the ability to report on processing time, from the application date to eligibility determination date / redetermination date.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box report and confirm that it aligns with the state requirement.
FR-RE-042	The Solution shall provide the ability to report on processing time, from the receipt date to eligibility determination date / redetermination date.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box report and confirm that it aligns with the state requirement.
FR-RE-043	The Solution shall generate a caseload/task-based report to assist management in analyzing worker activities to establish priorities, trends and distribution of caseloads.		Reports	M				Out of the Box	Release 1	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box report and confirm that it aligns with the state requirement.



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FR-RE-044	The Solution shall provide the ability to report on the amount of active cases/tasks assigned to a unit, and worker.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box report and confirm that it aligns with the state requirement.
FR-RE-045	The Solution shall have the ability to provide users with access to a full set of complex query Online Analytical Processing (OLAP) capabilities.		Reports	M			The Contract or shall provide data analytics tool with OLAP capabilities.	Custom - Moderate	Release 2	Appendix 3, Section 1.7.9	Our proposed solution has the capability and tools required to do analytical processing as part of the Deloitte ClearLight platform which contains ETL capabilities provided by Informatica, analytical capabilities provided by Open R and data visualization capabilities provided by Tableau. We will work with the state to understand the specific requirements around these capabilities.
FR-RE-046	The Solution shall have the capability to include advanced statistical functionality and sources such as GIS maps.		Reports	M				Custom - Moderate	Release 2	Appendix 3, Section 1.7.9	Our proposed solution has the capability and tools integrate our Deloitte ClearLight platform with GIS based visualizations. The Deloitte ClearLight platform contains ETL capabilities provided by Informatica, analytical capabilities provided by Open R and data visualization capabilities provided by Tableau. We will work with the state to understand the specific requirements around these capabilities.
FR-RE-047	The Solution shall provide predictive analysis tools for modeling scenarios.		Reports	M				Custom - Moderate	Release 2	Appendix 3, Section 1.7.9	Our proposed solution has the capability and tools required to do predictive analytics based processing as part of the Deloitte ClearLight platform which contains ETL capabilities provided by Informatica, analytical capabilities provided by Open R and data visualization capabilities provided by Tableau. We will work with the state to understand the specific requirements around these capabilities.
FR-RE-048	The Solution shall contain reports targeted at identifying and remediating fraud, waste and abuse.		Reports	M				Custom - Difficult	Release 2	Appendix 3, Section 1.7.9	Our proposed solution has the capability and tools required to generate fraud, waste and abuse centric processing and reporting as part of the Deloitte ClearLight platform which contains ETL capabilities provided by Informatica, analytical capabilities provided by Open R and data visualization capabilities provided by Tableau. We will work with the state to understand the specific requirements around these capabilities.



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FR-RE-049	The Solution shall provide the ability to produce reports to support accurate forecasting of program enrollments.		Reports	M				Out of the Box	Release 2	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box reports and confirm that it aligns with the state requirement.
FR-RE-050	The Solution shall generate an Appeal activity report, as defined by the State. Criteria for this report includes, but is not limited to: i. Summaries by appeal type ii. Appeal reason category iii. Appeal date iv. Appeal workflow status v. Appeal's assigned task owner vi. Appeal's assigned judge vii. Appellant's county viii. Appellant's region ix. Authorized representative x. Appellant's attorney/advocacy group xi. Process Clock Compliance status		Reports	H				Out of the Box	Release 2	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box reports and confirm that it aligns with the state requirement.
FR-RE-051	The Solution shall have the ability to generate an appeals summary report of basic appeals data, that does not include any personal health information (PHI) or personally identifiable information (PII).		Reports	H				Out of the Box	Release 2	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box report and confirm that it aligns with the state requirement.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-RE-052	The Solution shall have the ability to generate a report on State-defined Key Performance Indicators.		Reports	H				Out of the Box	Release 1	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box report and confirm that it aligns with the state requirement.
FR-RE-053	The Solution shall have the ability to generate Appeals Hearing dockets based upon State-defined parameters, generating reports including but not limited to: i. All dockets for a particular: 1-Room/Venue 2-Date 3-Resource or 4-Resource Team 5-Process Clock value ii. Docket description details: 1- Location type (phone/in person), 2- Hearing date/time/location, 3- Interpreter Needed/Not needed, 4-Appellant representation or None 5-Appeal issue type 6-Hearing type (Appeal, Continuance)		Reports	H				Out of the Box	Release 2	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box reports and confirm that it aligns with the state requirement.
FR-RE-054	The Solution shall provide inquiry access to appeals or hearings status for internal and external customers based on user roles and program rules.		Reports	N/A				Out of the Box	Release 2	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box report and confirm that it aligns with the state requirement.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-RE-055	The Solution shall enable a dynamic dashboard summary view of appeals activity, filtered by user role, including but not limited to: summaries by appeal type, appeal reason category, appeal date, appeal workflow status, appeal's assigned task owner, appeal's assigned judge, appellant's county, appellant's region, authorized representative, and appellant's attorney/advocacy group. The timeframe for the report shall be parameterized.		Reports	N/A				Out of the Box	Release 2	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box report and confirm that it aligns with the state requirement.
FR-RE-056	The Solution shall allow a role-based user to view and update appeal case information with the outcomes of reviews, including but not limited to: status of the Valid Factual Dispute review and status of the Hearing Preparation review.		Reports	N/A				Out of the Box	Release 2	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box report and confirm that it aligns with the state requirement.
FR-RE-057	The Solution shall provide the ability to view, search and ad-hoc query for appeals information from current and historical incidents, based State-defined criteria to include but not limited to appeal submitted date.		Reports	N/A				Out of the Box	Release 2	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box report and confirm that it aligns with the state requirement.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-RE-058	The Solution shall produce an appeals summary report of basic appeals data that does not include any personal health information (PHI) or personally identifiable information (PII).		Reports	N/A				Out of the Box	Release 2	Appendix 3, Section 1.7	Our solution has the capability to generate the reports specified in the RFP and repeated in our response Appendix 4 using our built in ClearLight reporting capabilities. During design we will work with the state to validate the out of box report and confirm that it aligns with the state requirement.
FR-WM-001	The Solution shall include a workflow engine that can be used to describe multi-step workflows and can manage the execution of those workflows and task checklists.		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.1	Our NextGen solution provides the State of Tennessee with a rules based workflow engine in the generation of tasks to the users. All documents that are either scanned or uploaded via the member/partner portal are processed via our workflow rules engine. The multistep workflow rules engine evaluates the documents based on document type and metadata parameters and creates the tasks in the appropriate queues for the workers to process.
FR-WM-002	The Solution shall have the ability to generate tasks and route them to individuals or groups of individuals (queues) for later assignment. The workflow requirements are described using the following terms: i. Workflow - this consists of one or more tasks. ii. Task - a discrete step or process in a workflow that may be assigned to an individual or may be an automated process. iii. Workflow Engine - the software component that runs and manages the workflows and the		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.1	Our Workflow has a rules based workflow rules engine that determines the creation of a task to the worker. A task is also created internally by the system at the completion of one action to the user to start the next.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
	step by step execution.										
FR-WM-003	The Solution shall provide an escalation process for tasks and alerts based on work flow parameters, user roles and program rules.		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.6	Our solution has the capability to escalate alerts to supervisors when they become overdue. Our solution also provides dashboard capabilities for workers within the worker portal to identify tasks that are overdue. This functionality will enables the supervisors to take timely actions on overdue tasks and alerts.
FR-WM-004	The Solution shall support workflows that interact/integrate with Electronic Content Management Systems.		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.1	Our solution's workflow rules engine has the capability to integrate the state's IBM File Net Electronic Content Management system and create tasks for all scanned documents. As defined in requirement FR-WM-001 our rules based workflow engine created tasks for the workers in queues based on the document type and the metadata. Once the documents are scanned, the tasks are created real-time through our NextGen' s task management web services.
FR-WM-005	The Solution shall include the capability to assign initial tasks/cases to staff based on defined business rules.	Appeals Intake -- - AP 1.1.1.8 --- Assign to Initial Appeal Workflow	Workflow Management	H				Configuration	Release 1	Appendix 3, Section 1.8.2	Our solution has the capability to create tasks to queues based on user defined rules. Our solution also can be configured to assign those tasks to specific users based on our Workflow Engine Case Assignment Criteria.
FR-WM-006	The Solution shall include the capability to route work to the next person in a workflow based on process outcomes.		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.4	Our solution has the capability to assign new tasks and cases to workers based on factors like worker schedules, case weights, category of assistance and companion cases. Based on the factors our workflow rules engine automatically assigns the cases to the next person in queue.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-WM-007	The Solution shall provide an automated method to balance workload based on configurable parameters defined by the state.		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.4	As defined in requirement FR-WM-007, our solution's workflow rules engine provides parameters to configure task load balancing.
FR-WM-008	The Solution shall provide a method to manually reassign workload based on user input.		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.4	Worker portal has a Task Assignment/Re-Assignment screen that allows users with access to transfer tasks from one worker to another or from one office to another. While transferring cases from one office to another, our system automatically transfers all the tasks associated with the cases as well.
FR-WM-009	The Solution shall support a visual/modeling tool to define business process flows.		Workflow Management	M				Out of the Box	Release 1	Appendix 3, Section 1.8.7	Our solution provides a user interface for workers with access to update the driver flow for our screens. This functionality can be used to define the business process flow of the data capture in our Data Collection module.
FR-WM-010	The Solution shall support standard business process definition languages.		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.7	As defined in the requirement FR-WM-010 our dynamic drive rules engine framework can be used to support business processes within our NextGen solution
FR-WM-011	The Solution shall provide the capability to link a workflow to one or more workflows.		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.7	Our solution's workflow functionality provides the capability to link multiple workflows to one . For example our application intake workflow can be split into further sub workflows, that will route all Long term care applications into one of the sub workflows.
FR-WM-012	The Solution shall allow user roles, as defined by the State, to have a consolidated inbox where they can see all of their assigned tasks/cases.		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.3	Our solution's Inbox module serves as a single point for all workers to start processing the tasks. The Inbox module allows the workers to view the tasks assigned to them and also to start processing the same.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-WM-013	The Solution shall allow user roles, as defined by the State, access to a work queue where tasks/cases can be pulled (self-assigned).		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.3	For tasks that are not assigned to a worker, our solution also provides the capability for the workers to start working from a queue using the consolidated Inbox module. The Inbox module also provides a common Start Task functionality that will automatically assign tasks based on priority and also prevents two workers from working on the same tasks.
FR-WM-014	The Solution shall provide Inbox lists to be sorted by criteria defined by the state.		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.3	Inbox module in NextGen provides the workers the capability to search for tasks using parameters like case number, client ID, first name, last name, and document type. The results are displayed in a summary format that can be sorted based on criteria defined by the state.
FR-WM-015	The Solution shall allow work groups to be defined as collections of individuals and/or roles and/or other work groups and/or organizations.		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.3	Our solution has a configurable role based access that allows a mapping of users to roles and roles to business functions. More detailed description of the same can be referenced in Appendix under Section 1.6.1.
FR-WM-016	The Solution shall have allow user roles the ability to create a new workflow or modify an existing workflow, with limited technical knowledge, so that different tasks are created and assigned using different rules.		Workflow Management	H				Configuration	Release 1	Appendix 3, Section 1.8.3	Our Solution's has a rules based workflow that controls the creation and assignment of tasks. The business rules can be modified by state workers with an understanding of our business rules engine using the rules designer.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-WM-017	The Solution shall have allow user roles the ability to create a new task type, with limited technical knowledge, and associated criteria, as define by the State. Associated criteria includes, but is not limited to: i. Initiation event/rule ii. Notification requirements iii. Assignment or queue rule iv. Disposition/deletion event/rule		Workflow Management	H				Configuration	Release 1	Appendix 3, Section 1.8.3	Our solution stores the document types and criteria associated with them in a reference table. The reference table module in our solution provides an user interface for business users allowing them to modify and create tasks with minimal technical knowledge.
FR-WM-018	The Solution shall allow tasks, based on task type, to be manually completed.		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.4	Inbox module in NextGen provides the capability for workers to complete and dispose a task. Out solution also provides a comment box for the workers to enter the reason for completion of task.
FR-WM-019	The Solution shall allow tasks to be automatically completed by a system action.		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.4	Our solution has the capability to automatically complete tasks based on defined system actions. The tasks that that can be automatically completed versus the ones that require manual intervention will be discussed during our design sessions.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-WM-020	The Solution shall allow tasks to track/include details as defined by the State. Task details include, but are not limited to: i. Task start date and time ii. Task end date and time iii. Priority history iv. Original due date v. Assignment history vi. Appeals Process Clock value vii. Appeals Process Clock compliance status		Workflow Management	H				Out of the Box	Release 2	Appendix 3, Section 1.8.4	Task Inquiry Module in our NextGen solution displays detailed information of tasks. The screen allows workers to view the status of current and historical tasks.
FR-WM-021	The Solution shall have the ability to automatically assign a due date to a task/case.		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.2	Our workflow rules engine automatically calculates the due date during the creation of tasks. The tasks are also sorted by the due date when they are displayed in the inbox.
FR-WM-022	The Solution shall allow user roles, as defined by the State, to manually assign a due date to a task/case.		Workflow Management	H				Custom - Easy	Release 1	Appendix 3, Section 1.8.2	Our solution can be customized to add a functionality for the worker to manually assign due dates to task. This feature will be added to the Inbox Details module of our solution and our rules engine's validations can be enforced to prevent workers from incorrectly assigning manual dates for such tasks.
FR-WM-023	The Solution shall allow have the ability to automatically assign a priority/criticality to a task/case.		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.2	The workflow rules engine in our NextGen module has the capability to automatically assign priority to a task based on the document type and metadata information. The tasks are then sorted in the inbox based on the priority allowing the workers to process the most critical ones first.
FR-WM-024	The Solution shall allow user roles, as defined by the State, to manually assign a priority/criticality to a task/case.		Workflow Management	H				Custom - Easy	Release 1	Appendix 3, Section 1.8.2	Our solution can be customized to allow the workers to manually assign priority to the tasks. A new field will be added to the Document Re-index screen that will also the workers to assign priority/criticality to the tasks.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-WM-025	The Solution shall allow user roles, as defined by the State, to be able to see the tasks assigned to other users.		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.2	Inbox module in our solution allows users to view tasks assigned to other users. Users can search by other users names and user id's. Our role based access can also be used to provide access for users to search for other users within an office, region and also statewide.
FR-WM-026	The Solution shall allow tasks to be escalated to a user role, as defined by the State, based on configurable date triggers for a type of task, e.g., 1 day past due.		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.6	Our solution provides dashboards for the supervisors that will allow them to view the tasks that are past due by number of days. The users would be able to see tasks that 0-10 days old, 10-30 days old and more than 30 days old.
FR-WM-027	The Solution shall allow user roles, as defined by the State, to create an ad-hoc task and assign it to another user or themselves.		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.4	Our solution's Reception Log Management module allows users to create manual/ad-hoc tasks. The reception log management screen replicates the document indexing screen allowing the workers to choose task types, priority and other metadata information like case number , client Id and appeals case number.
FR-WM-028	The Solution shall allow user roles, as defined by the State, to reassign a task to another user.		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.4	Inbox module in our solution allows supervisors and users with access to assign a task for any of the queues. The solution also provides users with access to assign tasks from one users to another.
FR-WM-029	The Solution shall allow user roles, as defined by the State, to forward a task to another group or work queue.	Petition --- AP 1.3.4 --- Confirm Petition AssignmentPetition --- AP 1.3.7 --- Send Petition for Appeal to CDPetition --- AP 1.3.8 --- Confirm Petition for AppealContinuation of Benefits --- AP 1.5.1 --- Review for Continuation of BenefitsContinuation of Benefits -- - AP 1.5.2 --- Attorney Review	Workflow Management	H				Out of the Box	Release 2	Appendix 3, Section 1.8.4	Our solution provides the capability to create tasks for two groups based on defined rules. In case of appeals, our solution creates tasks to all concerned parties with respect to the appeals case, whenever a new document is scanned for that specific appeals case.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-WM-030	The Solution shall allow user roles, as defined by the State, to view and search their task history.		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.5	Our Task Inquiry module allows users to view the status of tasks using standard search parameters. The results are sorted based on the state defined criteria. This module also allows users to search for historical tasks by using date parameters.
FR-WM-031	The Solution shall allow user roles, as defined by the State, to view, search, and report on the task history within their organizations.		Workflow Management	H				Out of the Box	Release 1	Appendix 3, Section 1.8.5	As defined in the requirement FR-WM-031, out tasks inquiry module allows users to search and view history of tasks. The screen also provides the capability to search based on the office and region to which the users belong to.
FR-WM-032	The Solution shall allow external users (applicant/member) to have tasks assigned to them for completion of applications/redeterminations.		Workflow Management	M				Out of the Box	Release 1	Appendix 3, Section 1.8.2	Our solution member portal allows applicants to start an application and complete a redetermination. When a redetermination packet is generated for a client, a notification is sent to the member using their preferred method of communication. The clients can then log into their member portal and complete the task of completing a redetermination online.
FR-WM-033	The Solution shall enable BAM (Business Activity Monitoring) and event-based notifications.		Workflow Management	L				Out of the Box	Release 1	Appendix 3, Section 1.8.7	Our solution provides Splunk monitoring tool to monitor key activities and generate alerts for any predefined events This tool can be configured based on our requirements to identify key monitoring events to create an alert based on a threshold set up for that activity. For example, if the average number of cases where eligibility is processed is more than the threshold configure, the tool can generate an a notification to the subscribed users thereby allowing users to take any preventive action if necessary.
FR-WM-034	The Solution shall have the ability to indicate document read/unread status.	Hearing --- AP 1.2.6 --- Review Continuance Request Hearing --- AP 1.2.12 --- Order Implementation Unit (OIU) Preliminary Review	Electronic Content Management	H			The State shall plan to re-use, where possible, the currently utilized ECM tool, FileNET.	Out of the Box	Release 1	Appendix 3, Section 1.8.3	Our solution maintains a status for all the scanned documents and their associated tasks. The status will allow the users and supervisors to indicate if the document has been worked upon or not.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-WM-035	The Solution shall have the ability to indicate the existence of an appeal via a flag on an eligibility case.		Workflow Management	H				Configuration	Release 2	Appendix 3, Section 1.8.1	Our solution provides the capability to associate an existing eligibility case to an a new investigation case. Our Case Inquiry module can be configured to display a flag for all eligibility cases that have an open appeals associated with it.
FR-WM-036	The Solution shall have the ability to associate a specific document to a task, and provide the ability to review the document.	Petition --- AP 1.3.4 --- Confirm Petition Assignment Petition --- AP 1.3.7 --- Send Petition for Appeal to CD Petition --- AP 1.3.8 --- Confirm Petition for Appeal Continuation of Benefits --- AP 1.5.1 --- Review for Continuation of Benefits Continuation of Benefits --- AP 1.5.2 --- Attorney Review Hearing --- AP 1.2.6 --- Review Continuance Request Hearing --- AP 1.2.12 --- Order Implementation Unit (OIU) Preliminary Review	Electronic Content Management	H			The State shall plan to re-use, where possible, the currently utilized ECM tool, FileNET.	Out of the Box	Release 2	Appendix 3, Section 1.8.1	Our workflow rules engines creates a task for all the documents scanned by the eligibility and appeals case workers.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-WM-037	The Solution shall have the ability to calculate Appeals Process Clocks status: 1- Shall calculate 'In Compliance' as: a. For Process Clocks with 'No Continuance' attribute, clock day count value is less than State-defined configurable maximum, default as 90 days. b. For Process Clocks with 'Granted Continuance' attribute, clock day count value is less than State-defined configurable maximum, default as 120 days. 2- Shall calculate 'Out of Compliance' for all other conditions.		Workflow Management	H				Custom - Easy	Release 2	Appendix 3, Section 1.8.1	Our solution will customize our appeals module to calculate and display the appeals clock status for clients based on the clients compliance status.
FR-QM-001	The Solution shall support the State and Federal Quality Control Case Review Process.		Quality Management	H				Out of the Box	Release 1	Appendix 3, Section 1.9	Once cases are selected for review and assigned, the module provides navigational tools to allow the designated reviewers to perform the case review, record findings, and initiate the necessary follow-up with QA staff or the participant
FR-QM-002	The Solution shall support the State's quality assurance process.		Quality Management	H				Out of the Box	Release 1	Appendix 3, Section 1.9	The NextGen Quality Assurance (QA) module provides automated and flexible workflows to build universes, identify samples, schedule, assign, and conduct QA reviews, enable supervisors to review Quality Control (QC) findings, and provide summary reports of finalized review.
FR-QM-003	The Solution shall support the State's quality control processing, including but not limited to: i. Payment Error		Quality Management	H				Out of the Box	Release 1	Appendix 3, Section 1.9	The NextGen solution's production-proven QA module is capable of meeting Tennessee's commitment to quality as well as federal requirements for MEQC, and PERM.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
	Rate Measurement (PERM) ii. Medicaid Eligibility Quality Control (MEQC)										
FR-QM-004	The Solution shall support the State's internal audit processes.		Quality Management	H				Out of the Box	Release 1	Appendix 3, Section 1.9	Our solution supports the State's internal audit process by automating case read results for accurate and streamlined reporting.
FR-AU-001	The Solution shall maintain an audit log of all additions, changes and deletions made to data in the system. This should be readily searchable by user ID or member ID. This must include but is not limited to:- The user ID of the person who made the change- The date and time of the change- The physical, software/hardware and/or network location of the person while making the change- The information that was changed- The outcome of the event- The data before and after it was changed, and which screens were accessed and used- The method in which the change was received (user / batch process / etc.)	Appeals Order Implementation -- - AP 1.4.3 --- Update Member Application / Eligibility Case	Audit	H				Out of the Box	Release 1	Appendix 3, Section 1.10	Our Worker Portal provides an Action History Module that allows workers with access to search history on a specific case within our system. The screen allows the workers to search for transactions using the below parameters-Case Number- Page Name- User ID- Batch ID- Case Mode - Transaction Start and End times- Details of the transaction (what data got changed)



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
FR-AU-002	The Solution shall maintain an audit log that includes, but is not limited to, the following details: i) date/time the change was made ii) the user that made the change iii) the previous value of the changed field iv) the new value of the changed field		Audit	H				Out of the Box	Release 1	Appendix 3, Section 1.10	The Action History Module in Worker Portal will provide the users to view this information as defined in the Notes Column of requirement FR-AU-001
FR-AU-003	The Solution shall maintain an audit log of changes to business rules.		Audit	H				Out of the Box	Release 1	Appendix 3, Section 1.10	Our solution maintains a version control for all the changes that were made on our business rules including information like the date the change was made, the reason for the change and the user who made the change.
FR-AU-004	The Solution shall maintain an audit log of changes made to case/client notes.		Audit	H				Out of the Box	Release 1	Appendix 3, Section 1.10	Our solution maintains an audit log of all the changes made on client notes including updates and deletion of client notes.
FR-AU-005	The Solution shall maintain an audit log of changes made to reports/notices.		Audit	H				Out of the Box	Release 1	Appendix 3, Section 1.10	Our solution maintains a version control for all the changes that were made on our reports and notices including information like the date the change was made, the reason for the change and the user who made the change.
FR-AU-006	The Solution shall allow user roles, as defined by the State, to view the contents of the audit trail, at a minimum by date and field level, on-line and via report.		Audit	H				Out of the Box	Release 1	Appendix 3, Section 1.10	Our solution's Action History module allows state defined users to view the audit trail including the date the change was made, the old and new values.
FR-AU-007	The Solution shall prohibit alterations of the audit trail.		Audit	H				Out of the Box	Release 1	Appendix 3, Section 1.10	The Case Action history screen in our solution is a read-only screen and prevents users from making any changes to the audit trails.
FR-AU-008	The Solution shall allow user roles, as defined by the State, to set the inclusion or exclusion of auditable events based on organizational policy		Audit	H				Out of the Box	Release 1	Appendix 3, Section 1.10	Our solution has the capability to configure the auditable events in our database. For example our solution can be configured to create an audit for specific elements in a table versus others.



	Requirement	Associated Process Flow (if applicable) (Process Flow Name - Process Flow Activity ID - Process Flow Activity Name)	Group	Priority	Policy Number	Policy Title	Comments	Solution Support for Requirement	Release	Bidder Response Narrative Section Reference	Notes
	& operating requirements/limits.										
FR-AU-009	The Solution shall maintain an audit log for all pages and the user ID of the user that has viewed the page.		Audit	H				Out of the Box	Release 1	Appendix 3, Section 1.10	Action History screen in our solution allows users to view the audit history of all pages where the user has created, viewed, and updated data.



Functional Requirements

This is a copy of the non-functional requirements from the RFP response – C.19 Non-Functional Requirements

Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes	
NFR-AA-001	Application Architecture	User Channels	Web Portal	The term "portals" refers to the different user interfaces needed by the Eligibility System. We specifically recognize the Member Portal, the Worker Portal and Partner Portals as being the major user interfaces for the Solution.		Supported	N/A	Our proposed solution for the TEDS is based on Deloitte's NextGen platform and is a configurable, non-proprietary solution which includes two Web portals (Member/Partner Portal and Worker Portal). The Member/Partner Portal will be internet-based, and the Worker Portal will be intranet-based. In addition to using their computers to access and update information, Members/Partners will also be able to create user accounts, set up alerts and reminders, report specific changes, upload documents, and check benefits using their mobile devices. In addition to completing typical day-to-day tasks via the Worker Portal directly, workers will also have the ability to interact with the Worker Portal via IBM Datacap when scanning and indexing documents.
NFR-AA-002	Application Architecture	User Channels	Web Portal	The Solution shall allow the user interface to be optimized for 1024 pixel wide screens but shall still work with lower or higher resolutions. The browser shall not display a horizontal scroll bar when viewed with a screen resolution of 1024x768 - even when there is a vertical scrollbar displayed. This screen width is a common minimum specification and is also the common configuration for tablet interfaces.		Supported	N/A	Our proposed solution for the TEDS will work with 1024x768 resolution and will also work with other screen resolutions for Worker Portal and Member/Partner Portal. Our Member/Partner Portal Web application supports phone, tablet, and desktop for public features and tablet and desktop for partner features. Horizontal scroll bars are not displayed unless there is an explicit need from the State to package and layout data in a format that cannot be supported without it.
NFR-AA-003	Application Architecture	User Channels	Web Portal	The Solution shall provide the capability for remote access of the Worker Portal (all components) in compliance with HCFA policy and practice.		Supported	N/A	Our proposed solution's Worker Portal is a browser-based solution that is hosted on the State's network. Remote access is possible through the State's VPN. We assume that the State's VPN complies with HCFA policies and practices. Note that the Member/Partner Portal is internet accessible, however, it can also be accessed via the State network as well as the State VPN.
NFR-AA-004	Application Architecture	User Channels	Web Portal	The Solution shall provide session management capabilities to support user sessions and coordinated back-end application functionality.		Supported	N/A	Our proposed NextGen solution for the TEDS provide session management capabilities that support user sessions and coordinated back-end functionality. Deloitte will leverage the Oracle Identity and Access Management (IAM) solution with Microsoft AD as LDAP for authentication tokens, enhanced further by our NextGen Framework to manage user sessions. Our Framework checks the validity of the session and accordingly prompts for credentials or allows access to the solution. In the case of the Member/Partner Portal, we will use a combination of Oracle IAM, Microsoft LDS as our LDAP, and our NextGen framework to manage the user session.



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NFR-AA-005	Application Architecture	User Channels	Web Portal	<p>The Solution shall provide portal personalization and customization capabilities for user experience.</p> <p>Examples of customization includes allowing users to explicitly specify what they want. E.g. choosing which information elements might be presented on a home page, choosing font size, display colors etc.</p> <p>Personalization is the process of tailoring content to individual user's characteristics or preference. E.g. display different landing pages for EOG case workers, TNHC workers and supervisors, different landing pages for navigator and general member etc.</p>		Partially Supported	N/A	Our proposed NextGen solution provides customization capabilities by rendering portal contents based on user preferences or by displaying the portal layout based on the user preferences. Our solution will dynamically queue only the screens necessary for a specific type of worker, based on the worker's user role. For example, an inquiry user will see only inquiry screens, while a data collection user will see the whole set of data collection application screens. Our solution's intuitive user interfaces have been engineered with leading practices in User Experience design to help streamline business processes and improve efficiencies. To provide a consistent look and feel across users and to support accessibility standards, we do not allow UI personalization such as font size and display color. Our proposed solution does support high-contrast themes for accessibility, using native browser access. For internet-facing applications such as the Member/Partner Portal, where accessibility standards support becomes even more crucial, we do not allow users to personalize font, colors, or even home pages. This provides not only a consistent look and feel for users, it also eliminates excess Service Desk time that would be spent on addressing layout issues vs. resolving important service issues.
NFR-AA-006	Application Architecture	User Channels	Web Portal	The Solution should provide support for web content management solution.		Partially Supported	N/A	Our proposed solution utilizes the free and open source WordPress platform, licensed under GPL v2.0 or later, as the Web Content Management solution for the TEDS. This platform will be used for both Worker Portal and Member/Partner Portal sites. The WordPress components will host the frequently published content that State administrative users can manage using native WordPress pages. The WordPress sites will have links to the actual Web applications that are based on the NextGen Framework.
NFR-AA-007	Application Architecture	User Channels	Web Portal	The Solution shall provide time-based content expiration and version management capabilities.		Supported	N/A	Our proposed solution for the TEDS uses WordPress as the Web Content Management platform which provides content expiration and version management out-of-the-box. These capabilities are configurable, using administrative screens within the WordPress platform.
NFR-AA-008	Application Architecture	User Channels	Web Portal	The Solution shall provide web content related workflow management capabilities.		Supported	N/A	Our proposed solution for the TEDS utilizes WordPress as the Web Content Management system. WordPress has a built-in component with workflows for authoring and publishing content to enable the State to reduce the complexity of Web Content Management.



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NFR-AA-009	Application Architecture	User Channels	Web Portal	The Solution shall provide syndicated content capabilities including creation and subscription to RSS feeds.		Partially Supported	N/A	Our proposed solution uses WordPress to enable authorized users to provide syndicated content, including creation and subscription of RSS feeds. WordPress has native support for RSS 1.0 (aka RDF), RSS 2.0, and ATOM specifications. It is easily configurable to enable a page within the platform for feed subscription. Using this feature, our proposed solution will provide containers for content feed and subscription on the home pages of the intranet and internet sites. State authors can choose to configure WordPress for additional feeds using WordPress authoring tools that are provided out-of-the-box with the platform.
NFR-AA-010	Application Architecture	User Channels	Web Portal	The Solution shall provide multimedia web content management capabilities.		Partially Supported	N/A	Our proposed solution for the TEDS will use WordPress for Web Content Management. However, to help the State achieve its vision for easy content management as well as outreach, we can embed YouTube-based audio/video and Google Picasa-based slide shows (for multimedia publishing on internet sites) within the WordPress pages. For intranet sites where the State may not wish to post those videos and images, WordPress pages can also embed internally-hosted videos via an HTTP interface from a State media server using oEmbed protocol.
NFR-AA-011	Application Architecture	User Channels	Web Portal	The Solution shall provide taxonomy-based cataloging of portal resources.		Supported	N/A	Our proposed solution for the TEDS uses WordPress as the Web Content Management solution that provides native taxonomy-based cataloging of resources. We use out-of-the-box, time-based parameters for organizing content by day, by month, year, author, and category, with dynamically created, browsable archives, which maintain content currency. WordPress is configurable to organize content using other parameters, however, the default options are optimized, based on what most large, popular sites follow (driven by general usage trends observed over time). In addition, NextGen solution provides taxonomy-based cataloging of portal application resources. Our proposed solution provides the taxonomy based on file extension type and business module.
NFR-AA-012	Application Architecture	User Channels	Web Portal	The Solution shall provide a portal UI framework that separates content from logic and is robust, scalable and interoperable with W3C web-based standards and recommendations.		Supported	N/A	Our proposed NextGen solution is built on n-tier architecture, which separates the presentation layer from the business and persistence layers. Additionally, our solution is built using JSP and HTML5 standards for scalability and interoperability, with W3C Web-based standards and recommendations for Worker Portal and Member/Partner Portal.



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NFR-AA-013	Application Architecture	User Channels	Web Portal	The Solution shall allow the user interface to work on a touch-screen tablet interface for all defined channels, although it is not necessary to specifically create a custom mobile user interface for tablet computing.		Supported	N/A	Our proposed solution for both the Worker Portal and the Member/Partner Portal supports the use of a tablet interface via a supported Web browser. The Worker Portal user interface is focused on data entry and productivity. Therefore, while it may render in a tablet, a tablet may not be the most efficient mechanism for transactions requiring significant user input. A traditional physical keyboard is typically a better choice for worker efficiency.
NFR-AA-014	Application Architecture	User Channels	Web Portal	The Solution shall make it possible such that when a person uses the browser to resize (zoom) a page the page shall behave functionally.		Supported	N/A	Our proposed NextGen solution supports zoom-in and zoom-out capabilities for the Worker Portal and Member/Partner Portal, using native browser controls. This feature is enabled using our CSS and UI layout standards in addition to the parameters used for the JSP controls in our applications.
NFR-AA-015	Application Architecture	User Channels	Web Portal	The Solution shall allow a user session to timeout after a specified period. The timeout period shall be configurable for different classes of users and minimally allow different values for the public web site and the internal web site.		Partially Supported	N/A	Our proposed solution for the TEDS classifies user types as Workers, Members, and Partners. For workers who interact with the Worker Portal, we rely on the use of Oracle IAM with Microsoft AD to provide session timeout, which is integrated with session management within the application. For the Member/Partner Portal, we rely on Oracle IAM with Microsoft LDS configurable session timeout in conjunction with the application's own framework for session management.
NFR-AA-016	Application Architecture	User Channels	Web Portal	The Solution shall allow a user to see, prior to session timeout, a message that warns them of the imminent timeout (e.g., a 1 minute notice) and they shall be able to click this message and keep their server session alive.		Partially Supported	N/A	Our proposed solution for the TEDS will display a warning message when a session is about to timeout, based on a configurable property value that can be set to support Security regulations and State preference. This warning message will also provide functionality that allows the user to continue the current session. This functionality will be enabled for both the Worker Portal and the Member/Partner Portal.
NFR-AA-017	Application Architecture	User Channels	Web Portal	The Solution shall collect and collate statistics on web portal usage to support reporting requirements and continuous improvements in design.		Supported	N/A	Our proposed NextGen Solution for the TEDS has built-in perf logs that reports statistics such as user, PAGE_ID, along with response time to support reporting requirements. These serve as inputs for continuous improvements in design and performance. WebSphere app server logs provide additional statistics, while technical statistics, such as connections and database resource consumption, are provided by the Oracle Database Enterprise platform's diagnostics and tuning pack.



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NFR-AA-018	Application Architecture	User Channels	Web Portal	The Solution shall have web statistics that capture the entry screens, exit screens, application abandonment frequency/location, % of anonymous users who create accounts, logon duration, session timeouts, time on each page, keyword searches, etc.		Supported	N/A	Our proposed NextGen solution for the TEDS offers monitoring and logging capabilities of application components such as application, security, framework, messages, services, rules, data access object, business objects, EJB, performance, presentation, and batch. Logging can be configured at various levels like DEBUG, ERROR and WARNING etc., depending on how much information logging is required. It is crucial that the State network and infrastructure do not suppress the end user IP for tracking anonymous users.
NFR-AA-019	Application Architecture	User Channels	Web Portal	The Solution shall ensure that each web page contains a HCFA copyright statement in the copyright meta tag.		Partially Supported	N/A	Our proposed solution supports use of copyright meta tags, and Deloitte will work with the State to gather the HCFA copyright statements that need to be added to all public-facing portal resources.
NFR-AA-020	Application Architecture	User Channels	Web Portal	The Solution shall ensure that JavaScript, CSS and other text files contain a HCFA copyright statement as a comment.		Partially Supported	N/A	Copyright comments can be added to our portal resources, including JavaScript, CSS, HTML, and other ASCII text files. Deloitte will work with the State to identify the HCFA copyright statements to be added to these resources.
NFR-AA-021	Application Architecture	User Channels	Web Portal	The Solution shall be able to post announcements/messages that are displayed on a user's home page. Different messages shall be targeted for different user groups; minimally internal (professional) users and external (member/citizen) users.		Supported	N/A	Our proposed solution for the TEDS uses WordPress as the Web Content Management solution, which will have configurable Widgets on the home page to post announcements/messages. This functionality will be enabled for both the Worker Portal and the Member/Partner Portal.
NFR-AA-022	Application Architecture	User Channels	Web Portal	The Solution shall allow the user interface for public access ("Member Portal") to operate across all mainstream browsers. Mainstream browsers are defined as any browser that has greater than 3% of the US browser market or greater than 3% of the US mobile-browser market and all versions of that browser within the last 2 years and across all supported operating systems. Refer to the State's "Enterprise Technology Architecture" for web browser standard for internal web portals.		Supported	N/A	Our proposed Worker Portal and Member/Partner Portal solution for the TEDS can be accessed through a Web browser, supported by the mainstream browsers - Microsoft Internet Explorer 9, Microsoft Internet Explorer 10, Microsoft Internet Explorer 11, Microsoft Edge v13, Google Chrome v49, and Firefox v45. Per www.netmarketshare.com, the browsers with higher than three percent usage as of June 2016 are IE, Chrome, Firefox, and Microsoft Edge. Per the State's Enterprise Technology Architecture Web standards, the application needs to support IE 9 or above. Our proposed solution meets this requirement.
NFR-AA-023	Application Architecture	User Channels	Web Portal	The Solution shall, if the a browser is known to not to be supported, allow the portal to present an information page to the user, i.e., fail gracefully. Specifically if IE6 is known not to function properly the system shall inform the user accordingly.		Partially Supported	N/A	Our proposed solution for the TEDS will be configured to perform a browser compatibility check before loading the home page and will display a graceful message to the user if a browser version is not compatible with the list of approved browsers for the solution.



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NFR-AA-024	Application Architecture	User Channels	Web Portal	The Solution shall create a plan, and then execute the plan, for "white hat" Search Engine Optimization (SEO) in order to encourage the indexing and discovery of the Member Portal.		Partially Supported	N/A	As part of our proposed solution for the TEDS, we will create a plan for White Hat SEO to address the following for Member/Partner Portal: 1) Indexing pages to incorporate search engine optimization (SEO) techniques. 2) Providing well structured pages (with headers and sub headers etc.). 3) Using descriptive page titles and other page text and building descriptive inbound links. We will use native features within WordPress to meet these controls where possible to minimize maintenance overhead.
NFR-AA-025	Application Architecture	User Channels	Web Portal	The Solution shall install sitemap files to encourage the correct search engine indexing of important web pages for the Member Portal.		Partially Supported	N/A	Deloitte will work with the State to shortlist the important Member/Partner Web pages and will map these pages to create sitemap XML, based on our NextGen templates. The sitemap XML will then be used by the search engines to create site links.
NFR-AA-026	Application Architecture	User Channels	Web Portal	The contractor shall document a strategy to ensure that Google, and Bing present the Member Portal as "site links" in their search results.		Partially Supported	N/A	Deloitte will work with the State to shortlist the important Member/Partner Web pages and will map these pages to create sitemap XML, based on our NextGen templates. The sitemap XML will then be used by the search engines to create site links. As part of the White Hat SEO artifact, we will document the strategy for site links search to align with Google and Bing search result preferences.
NFR-AA-027	Application Architecture	User Channels	Web Portal	The Solution shall allow the display text to be written in at a 6th grade reading level as otherwise dictated by the State and Federal regulations. The Solution shall allow the user interface to be multi-lingual and support both single and double byte languages if the State expands the languages supported.		Supported	N/A	Our proposed solution's language is user intuitive, refined from our experiences with other states. We are confident that it meets 6th grade reading level. Our proposed solution offers out-of-the box framework services that support multi-languages, including English and Spanish. If the State requires support for double byte languages in future, we will work with the State, using the change control process, to identify impacts to the solution.
NFR-AA-028	Application Architecture	User Channels	Web Portal	The Solution shall utilize the concepts and design demonstrated in the UX 2014 prototype to be leveraged wherever applicable.		Supported	N/A	Our proposed solution for the TEDS aligns with IDEO UX2014 design principles and concepts to provide a user-friendly experience.
NFR-AA-029	Application Architecture	User Channels	Web Portal	The Solution shall allow a user to create a web profile and account at the time they first fill out an eligibility application.		Supported	N/A	Our proposed solution's Member Portal has an out-of-the-box feature that allows a user to create a Member Portal account by providing basic information such as username, name, account password, and contact information before initiating an eligibility application.
NFR-AA-030	Application Architecture	User Channels	Web Portal	The Solution shall allow the account setup to use the user's email address based on a system policy configuration parameter.		Partially Supported	N/A	Our proposed solution for the TEDS provides the capability to capture email addresses. This capability can be customized for the State using a system policy configuration parameter.



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NFR-AA-031	Application Architecture	User Channels	Web Portal	The Solution shall provide links to the Healthcare.gov or other sites when specified by HCFA.		Supported	N/A	Our proposed solution for the TEDS utilizes WordPress as the Web Content Management platform, which has native capabilities that allow external links to be added to the Member/Partner Portal site. Deloitte will work with the State to identify links to other websites, such as Healthcare.gov, that need to be displayed in the Member/Partner Portal.
NFR-AA-032	Application Architecture	User Channels	Web Portal	The Solution shall allow the branding across the Member and Professional User Portals to be unified and also complementary to existing State Web sites.		Partially Supported	N/A	Our proposed solution for the TEDS has capabilities such as CSS-driven color scheme and branding, along with standardized headers and footers to support different branding for organizations. We will work with the State to confirm the Tennessee-specific CSS standards, banners and header/footer information that will be customized for the Worker Portal and Member/Partner Portal to align with existing State websites.
NFR-AA-033	Application Architecture	User Channels	Web Portal	The Solution shall experience no loss in functionality due to pop-up blockers and other toolbars designed to block advertisements.		Supported	N/A	Our proposed solution for the TEDS Member/Partner Portal uses no pop-ups and will not experience loss of functionality due to pop-up blockers. For the Worker Portal, we will work with the State to add the domain to the list of trusted sites for workers. (The Worker Portal design avoids pop-ups; however, in some cases the nature of the business transaction makes it easier for workers to have a small pop-up vs. utilizing other navigation paradigms to support efficient data entry.)
NFR-AA-034	Application Architecture	User Channels	Web Portal	The Solution shall allow video tutorials to be displayed in any mainstream format(s) but shall be available across all supported platforms.		Supported	N/A	Our proposed solution for the TEDS will provide access to YouTube training videos for Member/Partner Portal users. YouTube supports various mainstream formats and standardizes them for display within websites across multiple platforms. For the Worker Portal, we will utilize the oEmbed library of WordPress to embed videos that are published from State Media servers for intranet-only videos. We assume that the State media servers utilize formats that are cross-platform compatible.
NFR-AA-035	Application Architecture	User Channels	Web Portal	The Solution shall allow instructional help support to generally be available for each page and for the site as a whole. The design shall consider the best way of embedding help support. This may mean including inline text on some pages, embedding links to supporting pages, embedding videos in a page, providing context specific FAQs, providing hover option over fields to generate a description of the data element, etc.		Supported	N/A	Our proposed solution for the TEDS provides users with Solution-level help, Page-level help, and field-level help using hover text.



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NFR-AA-036	Application Architecture	User Channels	Web Portal	The Solution shall allow online help support for the Worker Portal to be at a page level and for the site as a whole. Training manuals, procedure manuals, policy manuals, overview presentations etc., shall be available online and accessible from the banner menu or home page. The online help text shall include instructions on how to perform certain tasks (e.g., "How do I forward an Inbox alert to my supervisor", "How do we handle the recent incarceration of a household member?"). The Solution shall provide hover option over HCFA defined fields to generate a tool tip of the data element.		Partially Supported	N/A	Our proposed solution provides users access to several forms of help. Online Help guides, FAQs, and Context Sensitive Help provide users with both general and specific help for the processes, screens, and fields in our NextGen solution. Help content itself will require modification, based on State-specific terminology and policies.
NFR-AA-037	Application Architecture	User Channels	Mobile	The Solution shall directly support mobile platforms (e.g. iOS, Android, Blackberry, etc.) for applicant/member use. This support shall include a native application that is optimized for a smartphone.		Supported	N/A	Our proposed solution for Member/Partner Portal features a native application for member use only that supports IOS 9 and Android 6.0 Marshmallow. (For mobile, the application will enable members to create user accounts, setup alerts and reminders, check benefits, report specific changes, and perform document upload functions.)
NFR-AA-038	Application Architecture	User Channels	IVR	The Solution shall interface with the TNHC's solutions to provide function proscribed by HCFA.		Partially Supported	N/A	Our proposed solution for the TEDS is built on Service Oriented Architecture that supports integration with IVR systems, based on defined APIs such as REST- or SOAP-based services or file-based integration. Based on Tennessee-specific IVR systems, we will work with the State to identify interface needs and develop interfaces for the system related to enabling IVR-driven Check My Benefits functionality.
NFR-AA-039	Application Architecture	Rules Engine	-	The Solution shall comply with the recommendations in Affordable Care Act and shall externalize all the business rules from the application.		Supported	N/A	Our proposed solution for the TEDS uses the IBM WebSphere Operational Decision Manager (ODM) rules engine that separates business rules from the application code and removes complex programming changes for rule changes. Business analysts can make changes and can see the actual rules that will execute in production using IBM ODM tools such as Rules Studio, Decision Center, and Decision Server.
NFR-AA-040	Application Architecture	Rules Engine	-	The Solution shall support cataloguing, design and execution of eligibility rules and business rules.		Supported	N/A	Our proposed business rules engine for the TEDS uses the native capabilities of IBM ODM to catalog, design, and execute eligibility rules. It allows the use of IBM ODM Rules Studio for designing rules, IBM ODM Decision Center for cataloging rules, and IBM Decision Server for executing rules.



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NFR-AA-041	Application Architecture	Rules Engine	-	The Solution shall allow production rules to be effective dated and so make it possible to run eligibility on historical data using different historical rules.		Supported	N/A	Our proposed solution for the TEDS uses a Rules Authoring design - from development through production - using effective dates. This allows for consistent testing of effective date-driven logic and rules execution. We utilize ODM Decision Center and IBM ODM Rules Studio to design rules with effective dates that are used not only by the rules engine, but also by the application framework that invokes the rules engine.
NFR-AA-042	Application Architecture	Rules Engine	-	The Solution shall provide a rules search capability by keyword, data element or other criteria.		Supported	N/A	Our Solution for the TEDS uses IBM ODM Decision Center to allow a user to search rules using keyword, data element, and other criteria. This allows users to search for rules and policies with keywords across the rulesets.
NFR-AA-043	Application Architecture	Rules Engine	-	The Solution shall provide a rules engine to offer a modular, flexible approach to systems development that meets CMS seven Conditions and Standards for enhanced funding. The proposed rules engine shall have at least two successful implementations in Medicaid Eligibility, HIX or IES systems.		Supported	N/A	Our proposed solution uses IBM WebSphere Operational Decision Manager (ODM) rules engine that separates business rules from the application code and removes complex programming changes for rule changes. This aligns with the CMS Seven Conditions and Standards for enhanced funding that focus around a modular, flexible approach to systems development. Deloitte has successfully implemented IBM ODM in seven states (Alaska, Florida, Montana, Nevada, New Hampshire, North Dakota, and Virginia) for converting eligibility rules in legacy code into business rules.
NFR-AA-044	Application Architecture	Rules Engine	-	The Solution shall provide a business rule vocabulary for the proposed rules engine.		Supported	N/A	Our proposed solution for the TEDS uses ODM as the rules engine. The business vocabulary is maintained as part of the ODM Decision center, which generates runtime definitions for the decision server components.
NFR-AA-045	Application Architecture	Rules Engine	-	The Solution shall define definitions of vocabulary items used by the proposed rules engine.		Supported	N/A	Our proposed solution for the TEDS will provide the business rule vocabulary and utilize the native IBM ODM's vocabulary definition blocks.
NFR-AA-046	Application Architecture	Rules Engine	-	The Solution shall provide a rules engine which offers a report that identifies all the business policies in which an individual business rule trace back to.		Supported	N/A	Our proposed solution for the TEDS uses IBM ODM Decision Center. Using ODM, individual rules and related business policies modeled after other rules or conditions are provided in a report format, based on linkages within the rule sheet.



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NFR-AA-047	Application Architecture	Rules Engine	-	The Solution shall provide a decision report for each of the determinations, the Decision Report should provide at least the following information: i. Eligibility decision for each of individuals in a household ii. Programs the individual eligible for iii. Interim decisions e.g. monthly income, residency status, household size, immigration status which support the final decision iv. Denial reasons		Supported	N/A	Our proposed solution utilizes IBM ODM as its rules engine. Within the rules engine, the design is sent back to the application in the eligibility results summary that consists of the following: 1. Eligibility decision for each of the individuals in a household based on financial and non-financial inputs 2. Programs the individual is eligible based on best benefit fit 3. Intermittent decision based on monthly income, residency status, household size, immigration status and assets 4. Denial reasons along with specific codes and definitions of those codes (The result summary from the rules engine is persisted in the transactional database, which serves as a historical reference should the State have a need to go back and refer to them.)
NFR-AA-048	Application Architecture	Rules Engine	-	The Solution shall provide a rules engine which contains a process for built-in rule review and approval process that shall identify any conflicts in business rules as they are being developed.		Supported	N/A	Our proposed solution for the TEDS uses IBM ODM Decision Center's rule authoring and publishing workflow capabilities for reviewing and approving rules. The tool has built-in checks that identify conflicts as part of rule and condition validation utilities during the development.
NFR-AA-049	Application Architecture	Rules Engine	-	The Solution shall include a rules engine which provides a debugging process that automatically analyzes and identifies logical errors (i.e. conflict, redundancy, and incompleteness) across business rules.		Supported	N/A	Our proposed solution for the TEDS utilizes the IBM ODM Decision Center's rule analysis processes that run in the background while the rules are being developed and checks for completeness and consistency of the rules. This includes conflict checks, redundancy checks, and incompleteness checks.
NFR-AA-050	Application Architecture	Rules Engine	-	The Solution shall include a rules engine which provides the flexibility to define business rules by inclusion or exclusion.		Supported	N/A	Our proposed solution for the TEDS is the IBM ODM product, an industry-standard tool that provides capabilities for configurable complex rules, including calculations and the flexibility to define business rules by checking for an existing, defined set of values /parameters/rules or by checking for non-existence of the same.
NFR-AA-051	Application Architecture	Rules Engine	-	The Solution shall provide license-free access to uncompiled rule set files.		Supported	N/A	Our proposed solution for the TEDS provides license-free access to uncompiled rule set files. Our proposed solution's source code can be accessed through Bitbucket, which is hosted on our proposed infrastructure for the TEDS.



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NFR-AA-052	Application Architecture	Rules Engine	-	The Solution shall have the ability to deliver eligibility determination results in real-time.		Supported	N/A	Our proposed solution for the TEDS evaluates eligibility determination in near real-time. A user or system action requesting eligibility determination invokes technical services components (a service wrapper or an adapter), which in turn invokes IBM ODM Business Rules Web services to evaluate eligibility. Eligibility results are then returned to the user/system.
NFR-AA-053	Application Architecture	Rules Engine	-	The Solution shall have the ability to provide denial reason codes in case of denials.		Supported	N/A	Our proposed solution for the TEDS will provide denial codes as part of the eligibility determination process. For example, if an individual resides out-of-state, which makes the client ineligible for a certain MAGI category, the ODM rules engine provides the appropriate denial reason. This denial reason is stored in our transactional database and can be displayed to the case worker and printed on the member communication notice.
NFR-AA-054	Application Architecture	Rules Engine	-	The Solution shall express business rules in natural language corresponding with the core data elements identified through the National Information Exchange Model (NIEM) as required for integration with external systems.		Supported	N/A	Our proposed solution for the TEDS expresses rules in natural language and populates the core data elements identified through the NIEM. This enriches the Account Transfer packets during the FDSH validation process and interaction with FFM.
NFR-AA-055	Application Architecture	Rules Engine	-	The Solution shall support data verification and consistency checks.		Supported	N/A	Our proposed solution for the TEDS uses the IBM ODM Decision Center, which supports data verification and consistency checks on individual rules and a set of rules. For individual rules, consistency checks include the following: Rules are never selected, Rule never applies, Rule may cause domain violation. For sets of rules, consistency checks include: Rules have equivalent conditions, Rules are equivalent, Rule makes other rule redundant, Rules are conflicting (or self-conflicting).
NFR-AA-056	Application Architecture	Rules Engine	-	The Solution shall support computed values e.g. monthly income based on input data.		Supported	N/A	Our proposed solution for the TEDS provides the State with reliability and the ability to configure complex rules, including computed values, and it allows the flexibility to define business rules by inclusion or exclusion. For example, the solution uses the member-reported income and expenses and has the ability to apply standard disregards, as defined by the State, and budget the monthly income used for eligibility determination.
NFR-AA-057	Application Architecture	Rules Engine	-	The Solution shall be interoperable with the rest of proposed solution via technology neutral interfaces.		Supported	N/A	Our proposed solution for the TEDS has the capability to expose rulesets as Web services through IBM ODM Hosted Transparent Decision Services (HTDS), which is interoperable with the other SOA-based NextGen architecture components.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-AA-058	Application Architecture	Rules Engine	-	The Solution shall provide the ability to maintain and display the history of each rule change in the rules engine. This history will show previous versions of the rule, a timestamp of when the change was made and the ID of the user making the change.		Supported	N/A	Our proposed solution for the TEDS uses ODM Decision Center's rule repository versioning feature to maintain different versions of business rules with precision and control. Historical references are available for display and include information regarding created by, last changed by, created on, and last changed on.
NFR-AA-059	Application Architecture	Rules Engine	-	The Solution shall provide the capability to add additional table-driven variables to support new regulations using a rules engine.		Supported	N/A	Our proposed solution for the TEDS accesses table-driven variables, such as reference tables or key value pair tables, that accelerate the development of complex rules. Reference table values can be modified using administrative screens in the Worker Portal.
NFR-AA-060	Application Architecture	Change	-	The Solution shall have the ability to create customizable web-based, interview sessions based on defined rule sets.		Supported	N/A	Our proposed solution's workflow management function will queue activities needed for an interview, based on defined rule sets. Deloitte will work with the State to configure the workflow for capturing interview information.
NFR-AA-061	Application Architecture	Rules Engine	-	The Solution shall facilitate the creation and maintenance of rules referencing complex data relationships this will include, but not be limited to, rules referencing complex many-to-many relationships between entity types.		Supported	N/A	Our proposed rules engine for the TEDS is IBM ODM that has out of box capabilities for object entity relationship mapping within its vocabulary management that is maintained within the Decision Center. This includes allowing many to many vs. one to many type relationships.
NFR-AA-062	Application Architecture	Rules Engine	-	The contractor shall provide documentation for assisting rule authors and administrators with best practices for rule repository creation and maintenance, repository check-in/checkout, repository promotion across environments.		Supported	N/A	Deloitte, as part of the transition activities will provide the documentation to assist the rule authors and administrators. This documentation will include best practices for rule repository creation, maintenance, check-in /checkout, and promotion to higher environments.
NFR-AA-063	Application Architecture	Rules Engine	-	The contractor shall partner with the HCFA management and business analysts to build, implement, and maintain suitable policy models for eligibility determination and other rules to be automated using the proposed Rules Management System.		Supported	N/A	Our proposed solution for the TEDS has an out-of-box basic configuration for MAGI policy-based rules that are implemented with the rules engine. We will use this as the starting point and work with the State's Subject Matter Experts (SMEs), to understand specific policies and additional business rules required for Tennessee.
NFR-AA-064	Application Architecture	Rules Engine	-	The contractor shall create the program rules in the proposed rules management system and test them in a test environment.		Supported	N/A	Our proposed solution for the TEDS includes a copy of the ruleset for each of the environments. Program rules are created and deployed in the development environment and are tested using the application. This cycle of testing process is repeated in each of the test environments, e.g., Integration, SIT, UAT, before the rule set is deployed in production.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-AA-065	Application Architecture	Rules Engine	-	The contractor rules management team will work with and advise HCFA staff Rule Author(s) in the best practices of: i. Converting rules from federal or legislative documents into properly structured rules that can be consumed by the proposed Rules Management System and writing future rules in such a way that eases the transition ii. Capturing meta-data about each of the rules sets and how they function		Supported	N/A	As part of transition services, Deloitte will provide knowledge, lessons learned, and best practices for the following: 1) Use of Medicaid and MAGI rules as compared to the policy itself, serving as an example of how to perform conversion of rules from Federal or legislative documents into structured rules that can be consumed by a Rules Management system, while using configurable parameters and reference tables to make them manageable. 2) Using the structured metadata maintained in the Decision Center, as an example of the level of detail required for vocabulary, and other metadata for rules engine execution and maintenance.
NFR-AA-066	Application Architecture	Rules Engine	-	The contractor shall provide knowledge HCFA staff on but not limited to: i. How best to store and look up the meta-data ii. Defining the lifecycle of rule sets iii. How to integrate rules iv. How to provide help or commentary on rules v. General use of the proposed rules management system		Supported	N/A	As part of transition services, Deloitte will provide knowledge, lessons learned and best practices for 1) Meta-data storage and look up using Decision Center. 2) Setting effective dates and tracking versions using Decision Center and ODM Studio 3) Invoking ODM rules from Worker Portal 4) Editing and maintaining vocabulary for providing help or commentary on rules 5) Administrative console walk through of ODM along with rules migration procedures
NFR-AA-067	Application Architecture	Rules Engine	-	The contractor shall provide selected HCFA staff with holistic knowledge transfer on the proposed rules management system that includes but is not limited to: i. Knowledge about how the proposed rules management system works ii. Knowledge about how to structure the rule sets to meet the agency goals iii. Knowledge about how to create, maintain and update rules in the proposed rules management system		Supported	N/A	As part of transition services, Deloitte will provide knowledge, lessons learned and best practices for the following: 1) Provide a list of training on the IBM ODM that the HCFA staff can use to gain basic understanding of the rules management system, and also provide a walk-through of how the rules are invoked from the Worker Portal. 2) Use of Medicaid and MAGI rules as compared to the policy itself, serving as an example of how to convert rules from Federal or legislative documents into structured rules that can be consumed by a Rules Management system, while using configurable parameters and reference tables to make them manageable. 3) Provide a walk-through describing how to create, maintain, and update rules in IBM ODM Studio and IBM ODM Decision Center.



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-AA-068	Application Architecture	Business Intelligence	- The Business Intelligence Solution shall provide the ability to: i. Prioritize workload executions and ensure quality-of-service; ii. Partition indexing and aggregate management via parameters and tools; iii. Simulate the various workloads and mixes		Supported	N/A	<p>1) Our the TEDS business intelligence capabilities are enabled using HHS Interactive, which is built on the Deloitte ClearLight platform. As part of the Deloitte ClearLight platform, there are native capabilities of the underlying RDBMS management console to enable workload prioritization and monitoring. Additionally, priorities can be set within the data visualization tools and ETL processing tools utilized by the platform that align with quality of service measures such as Report/ETL Job priority, and query response time. This is accomplished by the design of the data mart model that supports priority-driven data processing queues and by dimension design that enables discrete priorities to be assigned, based on the schedule required to generate reports.</p> <p>2) As part of the ClearLight platform, the RDBMS management tools provide out-of-the-box partitioning capabilities that are driven based on use of business indexes used for reporting and ETL queries. Tables and indexes within the data mart can be partitioned with no changes to the reports, processes, or visualization applications that access the data. Our data mart design is driven by parameter based index partitioning of tables for efficient retrieval of data for ETL processes and online data visualization tools. Furthermore, we also utilize query parameters within our BI Tool Tableau to meet additional data aggregation needs. Our ETL tool Informatica PowerCenter also provides aggregate management capabilities with detailed data heuristics available both at design time and runtime via the Informatica PowerCenter monitoring tool.</p> <p>(iii) As part of our testing activities, we utilize multiple test environments including those for the BI solution. Depending on the nature of testing, our proposed solution will utilize either data mart schemas or entire data mart instances to support the database layer for simulating different workloads. Additionally, Deloitte ClearLight platform also has workload repositories within the RDBMS platform that can provide insights to technical staff monitoring the tools for tweaking the parameters to support multiple types of workload simulations. Informatica PowerCenter, OpenR and Tableau also have similar capabilities to segregate workloads across test environments to meet simulation needs.</p>



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-AA-069	Application Architecture	Business Intelligence	-	The Business Intelligence Solution shall provide workflow and collaboration support for administrator tasks.		Supported	N/A	ClearLight platform provides workflow automation capabilities to automate the day to day DBA tasks generally encountered such as the creation of indexes, the free space reclamation and block reorganization. The ETL and data visualization administration modules also enables the admins to collaboratively monitor data, track user activities, allocate resources and plan upgrades.
NFR-AA-070	Application Architecture	Business Intelligence	-	The Business Intelligence Solution shall be highly available via various mechanisms, e.g. data marts, data replication, clustering and backup configuration.		Supported	N/A	Our Deloitte ClearLight platform is hosted on highly available physical infrastructure with hypervisor enabled automated virtual server failovers. For the data mart, our RDBMS utilizes out-of-the-box database replication. For Informatica PowerCenter ETL and OpenR, we utilize virtual server level failover and for Tableau data visualization we use load balancers to maintain high availability for end users. Deloitte ClearLight components also utilize backup configurations in addition to these measures to maintain high availability of the platform.
NFR-AA-071	Application Architecture	Business Intelligence	-	The Business Intelligence Solution shall provide flexibility in using public/private cloud versions of the DBMS as an option to provide cost-effective scalability as needed.		Supported	N/A	Deloitte's ClearLight platform is a private cloud platform with the ability to scale and grow and that enables flexibility, scalability, and accuracy across critical data assets. The underlying RDBMS platform has the capability to be deployed in a public cloud environment as well; however, the State would require additional controls and measures to support that pattern to align with NIST 800-53 and other State security requirements.
NFR-AA-072	Application Architecture	Business Intelligence	-	The Business Intelligence Solution shall provide for expansion of data storage as needed to accommodate increased volume of data based on approved capacity plans by HCFA.		Supported	N/A	Our proposed solution for the TEDS BI is HHS Interactive built on Deloitte's ClearLight platform. This solution provides the flexibility to add data storage and computing power to support payloads that are driven by usage. In the event of an increased volume in demand for usage of the platform, Deloitte will work with the State to assess the impacts and make capacity recommendations, including increases in licenses required to support the new workloads. The Deloitte ClearLight platform is vertically and horizontally scalable. However, license costs are driven by usage of the platform.
NFR-AA-073	Application Architecture	Business Intelligence	-	The Business Intelligence Solution shall have built-in utilities to the DBMS to automate the normal day-to-day DBA operations (e.g., automated index rebuilding, free space reclamation and block reorganization).		Partially Supported	N/A	Our proposed BI solution for the TEDS is our HHS Interactive solution, built on the Deloitte ClearLight platform. Our Deloitte ClearLight platform has a built-in, enterprise-scale RDBMS with automated index rebuilding, free space reclamation, and block reorganization.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-AA-074	Application Architecture	Business Intelligence	-	The Business Intelligence Solution shall support native geo-spatial data types.		Supported	N/A	Our proposed RDBMS solution for the TEDS supports two spatial types - geometry and geography types. The geometry type represents data in a Euclidean (flat) coordinate system, and the geography type represents data in a round-earth coordinate system.
NFR-AA-075	Application Architecture	Business Intelligence	-	The Business Intelligence Solution shall support various database connectivity protocols (e.g. ODBC, JDBC, etc.)		Supported	N/A	Our proposed BI solution for the TEDS includes a locally hosted ETL, Informatica PowerCenter node, which supports various database connectivity protocols, including JDBC and ODBC. Our Deloitte ClearLight platform also includes Tableau and OpenR, which have native support for JDBC and ODBC database connectivity.
NFR-AA-076	Application Architecture	Business Intelligence	-	The Business Intelligence Solution shall make an underlying DBMS available as a data warehouse appliance so it is also available as a standalone query-able DBMS.		Supported	N/A	Our proposed BI solution for the TEDS is based on Deloitte ClearLight platform, using an operational data store and data marts within the platform to support the State's reporting needs and to keep reporting functions from impacting normal, operational system functions. Data marts can be made available as a queryable DBMS for agreed-upon users.
NFR-AA-077	Application Architecture	Business Intelligence	-	The Solution shall be extensible and have a extensible data architecture incorporating state and external data.		Supported	N/A	The Deloitte ClearLight platform is a flexible and extensible solution that allows for future expansion as technology evolves. Our data architecture uses Oracle GoldenGate to replicate on-premise transactional data onto an on-premise Operational Data Store. This Data Store is then extracted for reporting data using Informatica PowerCenter and sent to the Deloitte ClearLight platform-based BI solution. Within the BI solution, the extracts are transformed into a multi-tenant, cloud-based RDBMS using Informatica PowerCenter. For statistical analysis, our solution uses OpenR. For data visualization, our solution uses Tableau. This data architecture lends itself to consolidating state and external data for BI purposes using an efficient data delivery system that reduces maintenance.
NFR-AA-078	Application Architecture	Business Intelligence	-	The Solution shall provide the ability for authorized users to create and customize reports, queries, and dashboards.		Supported	N/A	Our BI solution for the TEDS is built on the Deloitte ClearLight platform, which is a managed analytics platform that provides BI, data mart, data integration, data visualization, and advanced analytics and modeling capabilities. This platform can be assessed by authorized users to create and customize reports, queries, and dashboards.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-AA-079	Application Architecture	Business Intelligence	-	The Solution shall have no limits on the size of tables, indexes and other database-level objects that are less than that of the manufacturer-known and published limits of the underlying DBMS. The Solution shall retain records as required by applicable laws and regulations.		Supported	N/A	Our proposed BI solution for the TEDS does not impose additional limits to indexes, database-level objects, size of tables. Data mart is housed in an RDBMS that has partitioning, index management and relational object design that impose standard constraints true to a standard RDBMS. Our proposed solution utilizes database partitioning to manage large data volumes. Generally, State and Federal requirements for archival and purge tend to be case centric. Based on this and advances in modern database infrastructure, we only recommend purging of selective tables that are not impacting case history. These generally are limited to triggers, transactional audit logs for security and other log tables. When it comes to BI and reporting, the data correlates to case/business data typically. With retrieval technologies for data being harder to maintain consistently, our proposed solution implements deletion of raw extracts and only utilizing database partitioning for the other reports until a regulatory need occurs mandating deletion.
NFR-AA-080	Application Architecture	Business Intelligence	-	The Solution's business intelligence capabilities must be scalable to accommodate changes in solution scale including changes in user population, transaction volume, throughput and geographical distribution while maintaining the agreed service levels.		Supported	N/A	Our proposed BI solution for the TEDS is built on our Deloitte ClearLight platform, which is a private cloud platform with the ability to scale and grow. Our platform allows flexibility, scalability, and accuracy across critical data assets. As the user population, transaction volume, throughput, and geographical distribution changes, the Deloitte ClearLight platform scales vertically and horizontally to maintain the agreed-upon service levels. However, license costs are driven by usage of the platform.
NFR-AA-081	Application Architecture	Business Intelligence	-	The Solution shall provide the ability to impose graduated access to reports based on user role and agency requirements/permissions to better analyze program data.		Supported	N/A	Our proposed BI solution for the TEDS provides integration between the reporting module and our security framework, which defines report viewing capabilities based on user roles.
NFR-AA-082	Application Architecture	Business Intelligence	-	The Solution shall provide a reporting database or data warehouse separated from OLTP database.		Supported	N/A	Our proposed BI solution for the TEDS is designed to keep reporting functions from impacting normal, operational system functions by using an Operational Data Store(ODS) that is separate from OLTP. Data mart is in the Deloitte ClearLight platform, which is an extract from ODS that enables the desired functionality.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-AA-083	Application on Architecture	Enterprise Content Management	-	The Solution shall support the upload of supporting documents in a variety of mainstream formats include but not limited to: e.g., JPG, PDF, TIFF, TXT, DOC, DOCX, XLS, XLSX. Store documents in a repository and link the workflow step to the documents. Initiate alerts and workflow as necessary.		Supported	N/A	The State's content management solution, FileNet, will be used for content management. Our member/Partner Portal document upload supports JPG, PDF, TIFF, TXT, DOC, DOCX, XLS, and XLSX. We assume that the current implementation of FileNet supports these file types. Our proposed solution has workflow steps to create tasks when a document is either scanned and indexed from the Worker Portal or uploaded from the Member Portal.
NFR-AA-084	Application on Architecture	Enterprise Content Management	-	The Solution shall integrate with the TNHC's document imaging solution to associate documents submitted by member/application with an application, case or a contact in the eligibility system.		Supported	N/A	Our proposed solution for the TEDS integrates with the State's IBM Datacap Taskmaster Capture solution for scanning and indexing the document. As part of indexing the documents, the document type is identified (individual, case and application), which has an associated workflow to associate to the corresponding case/ application and create respective tasks for the case workers. This scanned document will also be available in the Electronic Case File for future reference.
NFR-AA-085	Application on Architecture	Enterprise Content Management	-	The Solution shall provide technology neutral interfaces for document management e.g. search, upload, and retrieval to ensure interoperability between multiple system components e.g. web portal, mobile etc.		Supported	N/A	Our proposed solution for the TEDS uses SOA principles to connect to the State's existing FileNet using our IBM IIB based ESB. Using the ESB creates interoperability, as various functions (e.g., search, re-index, upload, and retrieve) can be performed through the same Web services, irrespective of the user channel from which it is accessed.
NFR-AA-086	Application on Architecture	Enterprise Content Management	-	The Solution shall be able to display and print content that was captured or uploaded in native format.		Supported	N/A	Our proposed solution for the TEDS will retrieve the document from FileNet and will use file stream methods to display the content to the case worker.
NFR-AA-087	Application on Architecture	Enterprise Content Management	-	The Solution shall have the functionality to print barcodes, as required, on system-generated documents.		Supported	N/A	Our proposed solution for the TEDS uses HP Exstream to print notices/forms with barcodes that contain case information and information for the central printing system. Our proposed solution will add barcodes that are used to indicate set start, page sequence, sheet counts, inserts, and set end.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-AA-088	Application Architecture	Enterprise Content Management	-	The Solution shall have the ability to scan this barcode and associate the document to the appropriate case and/or contact.		Supported	N/A	Our proposed Document Scanning solution for the TEDS has the capability to scan the barcode and automatically index the document based on the information available in the barcode. This information includes meta data information (e.g., case number and individual ID). The Datacap workflow allows this document to be stored in FileNet and triggers task management work flow, which in turn generates notifications/tasks to the case worker and associates the document to the appropriate case/application.
NFR-AA-089	Application Architecture	Enterprise Content Management	-	The solution shall support an enterprise content management system that has the capability to capture, store, search, retrieve, annotate, and provide version control for documents.		Supported	N/A	Our proposed solution for the TEDS integrates with the State's existing FileNet solution, which we assume is capable of capturing, storing, and providing version control for documents. Datacap will be used for initial annotation of documents.
NFR-AA-090	Application Architecture	Enterprise Content Management	-	The solution shall provide the ability to configure the document retention and purging processes as per state and federal policies.		Supported	N/A	Our proposed solution for the TEDS enables tasks and notifications created in the Worker Portal to be purged according to the retention and purging process defined by the State. We will work with the State to identify the associated GUIDS, so the State can implement the archival/purge of corresponding documents from the FileNet system, based on the State and federal policies.
NFR-AA-091	Application Architecture	Customer Communication	-	The Solution shall allow correspondence (letters, forms, notices, etc.) that are generated by programs to be held in queues that can be reviewed by case workers before sending for printing. The Solution shall allow the notices to be grouped by notice type and support workflows to review, prioritize and release to printing.		Supported	N/A	Our proposed solution for the TEDS provides a "View Pending Correspondence" function that allows case workers to review all notices and forms triggered during online transactions before they are sent for printing. Our proposed solution provides the capability to group notices by type or case.
NFR-AA-092	Application Architecture	Customer Communication	-	The Solution shall add a unique number to each page of the notice along with the equivalent barcode. It shall be possible to use this number / barcode to determine the client and the document type.		Supported	N/A	Our proposed solution for the TEDS uses HP Exstream, which has the capability to print a unique number along with a barcode on each page wherever applicable. This information can be used for identifying meta data information (e.g., case number, individual client ID, document type) when the form is returned by the client and scanned.
NFR-AA-093	Application Architecture	Customer Communication	-	The Solution shall allow for a notice to be printed locally with the sensitive PII and health data redacted, e.g., redact all but the last 4 digits of the SSN.		Supported	N/A	Our proposed solution for the TEDS provides the capability to redact confidential data. Deloitte will work with the State during the Joint Application Design (JAD) sessions to gather specific data elements to be redacted and will implement the functionality using HP Exstream.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-AA-094	Application Architecture	Customer Communication	-	The Solution shall utilize an enterprise notice application for creating, modifying, directing, and archiving all correspondence.		Supported	N/A	Our proposed solution for the TEDS uses HP Exstream Designer and Design Manager's capabilities to provide an easy-to-use, intuitive graphical interface to create and manage correspondence document design templates. Once generated, notices are stored in FileNet and will follow the archiving rules and process that is defined for documents in FileNet.
NFR-AA-095	Application Architecture	Customer Communication	-	The Solution shall present output in a manner that is consistent with large volume bulk print processes. The contractor shall employ technology that is widely adopted, commercially availability, and considered best of breed.		Supported	N/A	Our proposed solution for the TEDS uses the HP Exstream High Volume Output delivery module in conjunction with our print vendor's output processes to meet this requirement
NFR-AA-096	Application Architecture	Batch Framework	-	The Solution shall provide an enterprise scheduling product. The enterprise scheduling product provided should be an industry-standard product that is widely adopted, commercially availability, and considered best of breed. The scheduler shall provide support for the ability to setup batch job execution based on: i. Time of day ii. Date iii. Processing cycle (daily, weekly, Monthly, Yearly, Quarterly.) iv. Upon request v. Arriving of a file		Supported	N/A	Our proposed batch scheduler for the TEDS, CA Workload Automation AE tool, is an industry-standard workload automation tool that supports batch job scheduling by time of day, by date, by processing cycle (daily, weekly, monthly, yearly, quarterly), and upon request/arrival of the file.
NFR-AA-097	Application Architecture	Batch Framework	-	The job scheduler shall provide support for the ability to setup batch job execution based on: i. Time of day ii. Date iii. Processing cycle (daily, weekly, Monthly, Yearly, Quarterly.) iv. Upon request v. Arriving of a file		Supported	N/A	Our proposed batch scheduler for the TEDS, CA Workload Automation Tool, provides an intuitive user interface to set up batch execution. Batch jobs can be set up to run by time of day, by date, by processing cycle (daily, weekly, monthly, yearly, quarterly) and upon request/arrival of the file. Jobs can also be force-started using either JIL or CA WCC for unplanned, ad hoc requests.
NFR-AA-098	Application Architecture	Batch Framework	-	The Solution shall allow the individual batch jobs to produce an output log that records HCFA specified critical processing statistics such as records read, records written, records failed, etc.		Supported	N/A	Our proposed solution's batch framework for the TEDS produces a summary report for batch jobs. Certain batch jobs are identified for reporting summaries, which include records processed, records failed, and records updated.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-AA-099	Application Architecture	Batch Framework	-	The Solution shall allow output and error logs to be viewable online for designated users.		Supported	N/A	Our proposed solution's batch framework has the capability to produce exception reports with exception detail if the record is not successfully processed in batch. This detail is available to designated users via the Worker Portal application.
NFR-AA-100	Application Architecture	Batch Framework	-	The Solution shall allow online and batch functions to be able to run concurrently.		Supported	N/A	Our proposed solution for the TEDS allows batch jobs to be scheduled by supporting concurrent operations between batch and online. Operationally, the State may prefer to run certain activities in batch only after all worker activities for the day are complete. However, our framework does not restrict concurrent online and batch operations.
NFR-AA-101	Application Architecture	Batch Framework	-	The contractor will provide an enterprise scheduling product capable of automating and managing batch processes with prerequisites and dependencies from several disparate systems and schedulers.		Supported	N/A	Our proposed solution for the TEDS batch scheduler, CA Workload Automation AE, can be used to set prerequisites for a job and therefore can be used to set dependencies based on the status of other job runs. For example, we have the ability to set our eligibility batch to complete before our file transfer to the MMIS system.
NFR-AA-102	Application Architecture	Batch Framework	-	The scheduler shall be capable of recognizing and managing dependencies of batch processes (e.g. sequencing multiple jobs) based on outcome of each successive job.		Supported	N/A	Our proposed solution for the TEDS batch scheduler, CA Workload Automation AE, can be used to set dependencies for a job based on the last run status of another job. For example, our proposed solution is configured to run batch eligibility determinations based on the successful processing of the SDX file. Solution scheduling capabilities, coupled with batch operations, will effectively manage batch processes for the TEDS.
NFR-AA-103	Application Architecture	Customer Communication	-	The Solution shall produce output in standard file formats that are supported by multiple contractor solutions.		Supported	N/A	Our proposed solution for the TEDS is built using HP Exstream, which has the ability to output a variety of standard file types, including PDF, which are supported by most print contractor solutions.
NFR-AA-104	Application Architecture	Batch Framework	-	The contractor will operate, maintain, and manage the enterprise scheduling software and hardware until the termination of the contract.	The State currently utilizes Workload Automation solution.	Supported	N/A	Deloitte will operate, maintain, and manage CA Workload Automation for batch jobs that are developed by Deloitte, until the termination of the contract.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-AA-105	Application Architecture	Customer Communication	-	The contractor shall be responsible for managing quality, tracking, reconciliation all print output delivery and processes regardless of any / all 3rd party HCFA partners involved in producing print into the mail-stream. Any 3rd party printing a mailing vendor employed by the contractor must be approved by HCFA.		Supported	N/A	Our proposed solution for the TEDS generates a report that displays when a notice was sent to the print services, when it was printed, and when it was mailed out. We will work with our print service partners to receive the file containing the information required to generate this report. With this report, Deloitte will manage the quality, track, and reconcile the print output. Deloitte will work with the State to identify the print and mailing vendors and obtain approval from HCFA as required.
NFR-AA-106	Application Architecture	Customer Communication	-	The Solution shall not restrict the design of templates of correspondences. The printing and mailing solution shall not restrict HCFA's ability to design correspondences including: i. Size of files transmitted ii. Pages in a correspondence iii. Types of correspondence iv. Graphics in correspondence		Supported	N/A	Our proposed solution for the TEDS uses HP Exstream, which does not place restrictions on creating templates. Our solution is designed to handle the generation and processing of large volumes of correspondence and will not restrict HCFA's ability to create the design templates based on the size, number of pages, type, or graphics in the correspondence.
NFR-AA-107	Application Architecture	Batch Framework	-	The scheduler should alert late, missing, and allow for automatic restart of abnormal conditions that may occur in the batch process.		Supported	N/A	Our proposed solution for the TEDS batch scheduler, CA Workload Automation AE, can alert the user about late jobs by defining the "must start time" and "must complete time" for a job. If a job fails, CA Workload Automation AE restarts the job based on restart conditions. The solution also allows the user to set the maximum number of times the scheduler should try to restart the job. Most of the jobs in our proposed solution support automated restart. For those that are not configured for automated restart, we have defined a batch operations process that illustrates how to handle abnormal conditions.
NFR-AA-108	Application Architecture	Customer Communication		The contractor shall provide on-going support, testing, and maintenance of the Output Management Solution for print, notices, letters, and templates.		Supported	N/A	Deloitte will work with the State to provide ongoing support for the Output Management Solution. By utilizing separate servers for testing, new notices or changes to notices can be tested for quality and conformance to requirements prior to deployment to production. Deloitte will also provide maintenance for the solution and will support any upgrades required for the solution.
NFR-AA-109	Application Architecture	Customer Communication		The contractor shall regenerate of print output as requested.		Supported	N/A	Our proposed solution for the TEDS allows a worker to reprint a correspondence by navigating to the "View History Correspondence" module of the Worker Portal.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-AA-110	Application Architecture	Customer Communication		The contractor shall produce and reconcile final counts of each print, notice and letter type to validate postage charges and send final report to HCFA IS daily.		Partially Supported	N/A	Our proposed solution for the TEDS will produce reports on the print counts and obtain information from our print facility for physical mailing, including letter type and postage charge for each notice type. The reports can be run when required or can be scheduled to run on a daily basis.
NFR-AA-111	Application Architecture	Customer Communication		The contractor shall design, develop, and implement a business continuity / disaster recovery plan for letter and notice processing.		Partially Supported	N/A	Our proposed solution for the TEDS stores the information required to be printed on the notices in the State's FileNet infrastructure. We will leverage the State's FileNet disaster recovery process to retrieve any notices. Our print facility will have a disaster recovery site for notice processing.
NFR-AA-112	Application Architecture	Rules Engine		The Solution shall provide a rules engine which allows for the rules to be tested against (de-identified) production data (e.g. application data through the FFM account transfer process) in a non-production environment prior to deployment of the rules.		Supported	N/A	Our proposed solution for the TEDS includes multiple environments. A Production Staging environment will have copy of production, refreshed on a periodic basis in maintenance. This will be used for data fixes and break fixes. However, it will also serve as a source for copying data to lower environments, which will require the data to be de-identified using either Oracle Data Masking for a repository level masking or Case Copy and Case Clone-based de-identification. The rules engine in each test environment will execute rules against data that is either synthetic or de-identified production data.
NFR-INTA-001	Integration Architecture	Enterprise Service Bus (ESB)	-	The Solution shall include an Enterprise Service Bus (ESB) that has a solid reputation and a viable market share as recognized by the State.		Supported	N/A	Our proposed solution for the TEDS leverages State of Tennessee's existing assets, IBM Integration Bus (IIB) Enterprise Service Bus (ESB) for data exchanges with external and internal systems. Gartner has named IBM as leader in On-Premise Application Integration Suites.
NFR-INTA-002	Integration Architecture	Enterprise Service Bus (ESB)	-	The contractor proposed ESB, at a minimum, must have been implemented and used in two successful Health Insurance Exchange or Medicaid Eligibility System implementations.		Supported	N/A	Our proposed solution for the TEDS leverages the State's existing IBM Integration Bus. Deloitte has successfully implemented the IBM Integration Bus enterprise solution with DataPower as the exchange gateway in the States of Michigan and Florida. In Michigan, Deloitte has implemented IIB with DataPower as the Enterprise HUB, which connects with six disparate portals, including the Eligibility Determination system, MMIS, and FFM. In addition, Michigan's FDSH verifications are processed through the HUB. (Deloitte completed a similar implementation in the State of Florida.)



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-INTA-003	Integration Architecture	Enterprise Service Bus (ESB)	-	The Solution shall use the ESB for all real-time interactions with systems/servers hosted on the State network and/or used in the State infrastructure.		Supported	N/A	Our proposed solution for the TEDS uses IBM Integration Bus for real-time interactions where applicable for both internal and external systems to State network. For example, Our proposed solution uses ESB for interactions with FFM, FDSH services, interface with MMIS system.
NFR-INTA-004	Integration Architecture	Enterprise Service Bus (ESB)	-	The Solution shall use the ESB in conjunction with the State designated secure XML gateway for all real-time interactions with systems external to the State network.		Supported	N/A	Our proposed solution's ESB for the TEDS will be used in conjunction with IBM DataPower Gateway appliance which is the State designated XML gateway for all real-time interactions with systems hosted on the State network and/or outside the State network.
NFR-INTA-005	Integration Architecture	Enterprise Service Bus (ESB)	-	<p>The Solution shall provide functionality that provides reliability for applications, services or message flows including but is not limited to:</p> <ul style="list-style-type: none"> i. Synchronous and asynchronous messaging ii. High availability iii. Fault tolerance iv. Failover v. In-order delivery vi. Transaction support vii. Execution prioritization viii. Message prioritization ix. Downstream throttling x. Guaranteed message delivery xi. Once only message delivery xii. Externalized control of message delivery retry frequency and attempt limit xiii. Failed message / dead letter capability xv. Load balancing xvi. Scalable 		Supported	N/A	<p>Our proposed solution for the TEDS leverages the State's existing ESB, IBM Integration Bus, which reliably supports the services and message flows listed as follows:</p> <ol style="list-style-type: none"> 1) Synchronous workflow and API invocations along with support for asynchronous messaging using JMS compliant message oriented middleware (MOM), such as JBoss HornetQ. 2) High Availability, Fault Tolerance, and Failover, based on use of native IIB clustering. 3) In-Order Delivery, Transaction Support, Execution Prioritization, Message Prioritization, Downstream Throttling, Guaranteed Message Delivery, Once-Only Message Delivery, Externalized Control of Message Delivery Retry Frequency and Attempt Limit, and Failed Message/Dead Letter capability are all out-of-the-box capabilities using IIB in conjunction with JBoss HornetQ. 4) Load balancing is implemented for HTTP and HTTPS traffic using F5 LTM. 5) Scalable base on the IIB infrastructure, which is based on the WebSphere platform.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-INTA-006	Integration Architecture	Enterprise Service Bus (ESB)	-	<p>The Solution shall have the ability to apply logic to the routing of messages, including but not limited to support for the following file interaction styles:</p> <ul style="list-style-type: none"> i. Store and forward: Ability to persist a message and then send it to destinations. ii. Publish/subscribe: Ability to distribute a message to multiple destinations based on a message attribute usually described as the subject area of the message. iii. Request/reply: Ability to correlate asynchronous messages so that the target's response is associated with the appropriate request made by the source. iv. Content-based: The ability to route a message based on a value or values within a message. 		Supported	N/A	<p>Our proposed ESB solution for the TEDS is IIB, which provides functionality that supports service- and message-based data exchange functions, including transformation, orchestration, routing, transaction management, and API management. Interaction styles include the following: 1) Store and Forward - During this interaction, the message payload is stored in a persistent store-like database and forwards (store and forward) the message payload to a data source, such as a message queue, for further processing internally or by an external system. Once the response is received, the ESB responds to the calling system with the response by setting the same "Correlation ID" as received in the request. 2) Publish/Subscribe - If the same message must be consumed by multiple systems, an integration component called topic is used. All the consumers are subscribed to this topic and read the messages being placed in the topic. The ESB places a message in the topic to be consumed by all the consumers subscribed to the topic. 3) Request/Reply - In the Request/Reply integration pattern, a request is made by the calling system and it receives an immediate acknowledgement receipt of the request from the service as a reply. The request contains a "Correlation ID" key, which is used to link the request and the response. For example, the Minimum Essential coverage service allows FFM to verify if an applicant is already receiving benefits and enrolled in State Medicaid. 4) Content-based - Canonical message format- and content-based routing is used where a number of message consumers require similar information with minor variations.</p>
NFR-INTA-007	Integration Architecture	Enterprise Service Bus (ESB)	-	<p>The Solution shall have the ability to track a message from its origin to its destination (inside a firewall), log on the status of that message and alert for attention to address exceptions.</p>		Supported	N/A	<p>Our proposed solution for the TEDS, IIB provides capability to configure message flow to emit event messages that can be used to support transaction monitoring and auditing and also business process monitoring. The events published by ESB can be written to a transaction repository, creating an audit trail of the transactions that are processed by a broker. A transaction repository can be used for monitoring, auditing, and replay of transactions. Important fields in the message payload can be added to the events emitted by message flows, allowing them to be monitored.</p>



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-INTA-008	Integration Architecture	Enterprise Service Bus (ESB)	-	The Solution shall record traceable, auditable events as defined by the State security office.		Partially Supported	N/A	Our proposed logging framework for the TEDS provides a mechanism to configure the audit listener to log events and store them in the transactional database without interrupting the main process flow. Deloitte will work with the State to define the audit events that are required by the State Security office and store them in a transactional database.
NFR-INTA-009	Integration Architecture	Enterprise Service Bus (ESB)	-	The Solution shall include but not limited to: i. Protocols: The ability to use standards-based communication protocols, such as TCP/IP, HTTP, HTTP/S, MQ and SMTP. ii. Protocol bridging: The ability to convert between the protocol native to the messaging platform and other protocols, such as Remote Method Invocation (RMI), SOAP over MQ and .NET remoting. iii - The ESB should be extensible using standard adapters that can be purchased on the open market.		Supported	N/A	Our proposed solution for the TEDS, IIB, supports a wide variety of standards-based integration/communications protocols and standards such as WSDL, SOAP, XML, XSD, NIEM, HL7, ANSI X12, NHIN, JMS, TCP/IP, MOM, IIOP, .NET Remoting, TDE, SSL, TLS, WS-RM, FTP/SFTP, HTTP, HTTPS, MQ, SMTP. The IIB ESB supports protocol bridging to enable communications between different protocols by dynamically converting one protocol to other. (For example, in some states, our solution needed to convert the inbound SOAP/HTTPs protocol to outbound MQ for asynchronous communication.) IIB is also extensible with standard adapters, such as IBM WebSphere MQ, JMQ Adapter, ODBC, JDBC, Web Service (WS-*, REST, ODATA), MS SQL, Oracle, FTPS, SFTP, HTTPS, LDAP Connector, SAP Connector, Splunk Connector, SMTP Connector, RMI Connector, .NET Connector, and File Listeners.
NFR-INTA-010	Integration Architecture	Enterprise Service Bus (ESB)	-	The Solution shall have features that enable in-flight message manipulation, such as transformation (typically XML-based), intelligent routing, naming and addressing.		Supported	N/A	Our proposed solution for the TEDS has in-flight message manipulation, transformation, and intelligent routing features. For example, during one of our ESB implementations, the account transfer was manipulated and transformed in-flight from v2.3.2 compatibility to v2.0, because the disparate systems consuming the account transfer were not ready for the version upgrade yet. Also, during the implementation of Passive Renewal process in one of our previous implementations, ESB had to intelligently route the messages to either AHI service from FDSH or RRV service, depending on whether the transaction was for renewal/redetermination or new application.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-INTA-011	Integration Architecture	Enterprise Service Bus (ESB)	-	The Solution shall implement synchronous and asynchronous system-to-system communication, moving messages between service consumer modules and service provider modules at runtime. The ESB component may also monitor for file creations that trigger processing, manipulate files in response to trigger or time based schedule events, and access / update database rows.		Supported	N/A	Our proposed solution for the TEDS has the capability to implement Synchronous Messaging using the IBM Integration Bus SOAP Input Node to produce a SOAP-based Web service for real-time integration to accept SOAP/HTTPS requests and respond with a SOAP Reply message. For example, when an individual applies for Medicaid on the Federally Facilitated Marketplace (FFM), FFM performs Medicaid verification to check if the individual is already receiving Medicaid from the applied State. A synchronous, real-time Web service is hosted on ESB for FFM integration for Medicaid check. Our proposed solution for the TEDS has the capability to implement Asynchronous Messaging using different connectors such as JMS connector, JBoss HornetQ Connector for asynchronous communication between applications/systems. Additionally, our proposed solution also monitors for file creation. For example, When an ESB receives an SDX file from SSA, the file is securely ftp'd to a location on the State network. This location then acts as the file end point that triggers the message flow for further file processing. Trigger or time based schedule events can also be configured in ESB. For example, our proposed solution provides the capability to provide information on count of FFM applications received during the day and can be scheduled.
NFR-INTA-012	Integration Architecture	Enterprise Service Bus (ESB)	-	The Solution shall have the capability to bind services and other environment components through standard external environment controls such as UDDI or other URL resolution services.		Supported	N/A	Our proposed solution for the TEDS has the capability to support UDDI-compatibility registry, interoperability repository, and URL resolution services. Additionally, our proposed solution for the TEDS supports reliable synchronous and asynchronous message-oriented communication.
NFR-INTA-013	Integration Architecture	Enterprise Service Bus (ESB)	-	The Solution shall support industry-standards Health and Human Services domain exchange messaging standards including, but not limited to: i. National Information Exchange Model (NIEM) ii. ANSI X12 EDI (270, 271, 834,...) iii. Health Level Seven (HL7)		Partially Supported	N/A	Our proposed solution for the TEDS supports industry-standard Health and Human Services domain exchange messaging standards, which can be tweaked by interface. Specifically we support: 1) NIEM for Account Transfer, FDSH and communications with FFM 2) 270 for Health Care Eligibility/Benefit Inquiry, 271 for Health Care Eligibility/Benefit Information, 834 for Benefit Enrollment and Maintenance 3) HL7 for the exchange, integration, sharing, and retrieval of electronic health information.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-INTA-014	Integration Architecture	Enterprise Service Bus (ESB)	-	The Solution shall have the ability to support varying message payloads, ranging from individual transactions to large files (more than 1GB) containing multiple transactions. Where multiple transactions are embedded in file, the system should have the capability to manage the individual transactions in such a way that if the process is interrupted, it can be restarted without processing a record a second time or skipping records. This capability is commonly known as a checkpoint restart.		Supported	N/A	Our proposed solution for the TEDS supports varying message payloads ranging from individual transactions to large files. Our proposed solution supports Message Transmission Optimization Mechanism (MTOM)-based integration to handle very large payloads. • Alternatively, if the file size is large (more than 1 GB), ESB has the capability to split the file and process smaller chunks by storing data into a database. This data will be used for further business processing by transforming and routing the data. IBM Integration Bus provides a File Input node component for file exchange with external systems using the SFTP protocol. Should failures occur during batch processing of an input file, our solution follows a checkpoint restart approach so the individual records in the file need not be reprocessed when the process is restarted.
NFR-INTA-015	Integration Architecture	Enterprise Service Bus (ESB)	-	The Solution shall provide the functionality used to monitor the operation of the overall system (services, applications, processes and application infrastructure), and to collect event logs and usage information aimed at populating technical KPIs of the deliverables supported by the SOA backplane and of the SOA backplane components by monitoring and collecting metrics including but not limited to: i. Messaging traffic ii. Process state and behavior iii. Application and service parameters and behavior for all nodes		Supported	N/A	Our proposed solution for the TEDS includes IBM Integration Bus management console (IMC). IMC is an enterprise management and monitoring tool designed specifically for IBM ESB instances (servers, applications and processes running on the ESB). IMC provides: 1) Functionality to monitor messaging traffic flow through various nodes of the message flows. 2) Functionality to monitor current state of different processes at point in time and as transactions in flight 3) Functionality to manage and monitor IBM ESB instances, ESB clusters, applications within Integration server instances, and the flows within the applications. Functionality to monitor specific transactions through pre-defined business events



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-INTA-016	Integration Architecture	Enterprise Service Bus (ESB)	-	The Solution shall provide for any combination of alert destinations such as Email, JMS, SNMP, reporting services, and server logs. The alerts shall be configurable with respect to the frequency of the alert, the ability to enable/disable an alert, rule expiration dates, starting and ending times for an alert, and customizable conditions for an alert.		Supported	N/A	Our proposed solution for the TEDS includes IBM Integration Bus management console (IMC). The management console can be configured to alert a certain set of users via email using SMTP when certain events thresholds are exceeded. Our proposed solution's management console provides a dashboard that displays the Web services and applications status and behavior on all the ESB nodes (whether the service is up and running, response times, etc.). The management console can be configured to alert configured set of users via email using SMTP when certain events thresholds are exceeded. Customizable properties (e.g. Frequency of the alert, expiration dates, start time of the alert, end time for an alert, enable/disable alert) can be set. Our proposed solution's ESB can be configured to support JMS, SNMP, and server logs where applicable.
NFR-INTA-017	Integration Architecture	Enterprise Service Bus (ESB)	-	The Solution shall provide the tools and technologies required to implement the necessary control access to the services and the connected resources (for example, other services and databases), as well as the SOA backplane functionality capabilities including but not limited to: i. Authentication ii. Authorization iii. Encryption/decryption iv. Digital signatures v. Credential mapping		Supported	N/A	Our proposed ESB solution for the TEDS provides: 1) Authentication, Authorization and Credential Mapping - The DataPower security appliance is used to interpret the incoming message payload, parses WSSE Security from the SOAP Header, retrieves username and password token (credential mapping) to validate against an Active Directory (AD), and authenticates the request. The IBM DataPower security appliance validates the SSL certificate from the incoming request and authorizes the request only if the SSL handshake is successful. 2) Encryption /decryption: Our proposed solution uses TLS (Transport Layer Security) 1.2 protocol for providing secure communication of data over network. 3) Digital Signatures: Our proposed solution provides capability to provide digital signature. For example: During our previous implementation of 1095-B functionality, our proposed solution's ESB Digital Signature security component is used to digitally sign the message payload before routing it to the IRS 1095-B Web service. 4)Credential Mapping



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes	
NFR-INTA-018	Integration Architecture	Enterprise Service Bus (ESB)	-	<p>The Solution shall provide the service lifecycle management capability such as the following: Examples include:</p> <ul style="list-style-type: none"> i. Online catalog of services and associated artifacts such as WSDL files, XSDs, BPEL files ii. A single point of controlled access for cataloging, promoting, publishing and searching for information about managed assets iii. Metadata that enables an Enterprise Service Bus (ESB) to find, bind to and invoke the execution of a service implementation iv. Support for extending existing asset types and defining and populating custom asset types 		Supported	N/A	<p>Our proposed solution for the TEDS uses IBM WebSphere Registry and Repository (WSSR), the State's existing registry, as a system for storing, accessing, and managing information, commonly referred as service metadata. It is specifically used to Manage Service Metadata: To create or re-use service descriptions, taxonomies, XML Schemas and other service metadata artifacts like WSDL, BPEL files. Enable SOA Governance: To manage overall SOA infrastructure and asset types. Publish and find a Service: Publish service descriptions and locate services for reuse and enable the composition of new composite applications from existing services. Facilitate Service Interaction: To access service metadata and endpoint information as well as capture service metrics key to assess key performance indicators against the business and operational objectives.</p>
NFR-INTA-019	Integration Architecture	Enterprise Service Bus (ESB)	-	<p>The Solution shall support Transport Security, Message Security, WS-Security, SAML architecture, and WS-Policy. In addition, the Solution shall also implement the ability to externalize security by using a third-party security infrastructure whereby the ESB's proxy action calls a third-party for user/role information.</p>		Supported	N/A	<p>Our proposed solution for the TEDS supports these requirements. Transport Security - Our proposed solution uses TLS (Transport Layer Security) 1.2 protocol for providing secure communication of data over network. Message Security - Our proposed solution supports message security when exchanging messages between different systems by using parameters like Identification, Authorization and Authentication, Auditing, Confidentiality, and Cryptographic Security Protocols. WS-Security - Our proposed solution supports WSSE Security by getting the username and password token (credential mapping) from SOAP Header to validate against an Active Directory (AD) and authenticate the request. SAML architecture - Our proposed solution can support SAML for Web services authentication using the native IIB platform. WS-Policy - Our proposed solution provides the capability to enable WS-Security configured via WS-Policy for end-to-end encryption between the sender and recipient of the message by encrypting the message body. Our proposed solution has the capability to integrate with the enterprise's data exchange gateway, DataPower.</p>



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-INTA-020	Integration Architecture	Enterprise Service Bus (ESB)	-	The Solution must incorporate role/group-based rights for the management of the Service Bus across the environments.		Supported	N/A	Our proposed ESB solution for the TEDS is IIB that enables delegated administration across a wide variety of administration and API management. These roles allow to align with operation and administration organizational structures across multiple environments. These administration activities are allocated across roles such as Integration Administrator, API Administrator, API Developer (API Publisher), API Product Manager.
NFR-INTA-021	Integration Architecture	Service Oriented Architecture (SOA)	-	The Solution shall provide the ability to publish services and related data elements to be used by different types and classes of service consumers.		Supported	N/A	Our proposed solution for the TEDS uses IBM WebSphere Registry and Repository (WSSR), the State's existing registry, as a system for storing, accessing, and managing information, commonly referred as service metadata. WSSR is used to publish service descriptions and locate services for reuse and enable the composition of new composite applications from existing services.
NFR-INTA-022	Integration Architecture	Service Oriented Architecture (SOA)	-	The Solution's Interface architecture for internal A2A (Application to Application) integration shall not have a negative impact on the user experience and expectation for application performance. All points of contacts for A2A communications shall be documented.		Supported	N/A	Our proposed solution for the TEDS relies on a variety of internal Application to Application (A2A) integrations. To validate that this integration does not have a negative impact on the user experience and expectations for application performance, we consider a variety of factors in our architecture, such as message prioritization, urgency of data, and orchestration. Points of contact for A2A communications are documented and used as part of our escalation process.
NFR-INTA-023	Integration Architecture	Service Oriented Architecture (SOA)	-	The Solution shall provide assistance for deploying applications with SOA and event-driven architecture in a manner that supports the following implementation strategies: i. Web Services: Web Services Interoperability (WS-I) Organization-compliant implementation of basic Web services standards, including SOAP, WSDL and Universal Description, Discovery and Integration (UDDI), as well as higher-level Web services standards, such as WS-Security. ii. Representational State Transfer (REST): Support for XML-based message processing as well as HTTP, and XHTML.		Supported	N/A	Our proposed solution for the TEDS provides assistance for deploying applications with SOA and event-driven architecture, based on our experience in implementing SOA-based architectures. We have developed assets such as optimal resource configuration settings, messaging queue configurations, environment variables configuration, connector configuration, database configurations, SSL configuration, and adaptor configurations that jumpstart the configuration of the system. This provides assistance in deploying WS-I organization-compliant Web services, including SOAP (WSDL) based, UDDI, and REST-based services, which support JSON, XML, HTTP and XHTML.



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes	
NFR-INTA-024	Integration Architecture	Service Oriented Architecture (SOA)	SOA Governance	<p>The contractor shall define SOA governance processes for the following domains but not limited to:</p> <ul style="list-style-type: none"> i. Service Portfolio Management ii. Services Technical Architecture iii. Service Design & Development iv. Configuration & Release Management v. Contract Management vi. Service Monitoring & Control vii. Incident Management viii. Change Management ix. Role based access controls 		Supported	N/A	<p>Our proposed SOA solution for the TEDS includes a defined SOA governance process. State agencies are rapidly adopting Service Oriented Architecture (SOA). Its layered and modular design and loosely coupled approach to application integration make SOA ideal for large-scale enterprise architectures, and the Enterprise Service Bus (ESB) is a critical technical component to enable SOA. SOA governance refers to the processes used to oversee and control the adoption and implementation of Service Oriented Architecture (SOA) in accordance with recognized practices. Our governance processes define Service Portfolio Management, Services Technical Architecture, Service Design and Development, Configuration and Release Management, Contract Management, Service Monitoring and Control, Incident Management, Change Management, and role-based access controls.</p>
NFR-INTA-025	Integration Architecture	Service Oriented Architecture (SOA)	SOA Governance	<p>The contractor shall be responsible for building and supporting frameworks and extensible tools that enable the design, configuration, assembly, deployment, monitoring, and management of software designed around an SOA.</p>		Supported	N/A	<p>Our proposed solution for the TEDS recommends the use of pre-defined configuration parameters from our experiences with IIB in other states for configuration after the initial assembly. Our proposed solution uses IBM Integration Toolkit to enable design and development. Developed code is compiled to a broker archive (BAR) file and is deployed on to the server using Apache Ant scripts. Monitoring is done with IBM Integration Bus management console (IMC). Management of software is accomplished using the Atlassian Insight tool.</p>
NFR-INTA-026	Integration Architecture	Service Oriented Architecture (SOA)	SOA Governance	<p>The Solution shall integrate with a service registry and repository to serve as an integration point for runtime tooling.</p>		Supported	N/A	<p>Our proposed solution for the TEDS uses State's existing IBM WebSphere Registry and Repository (WSSR), and it serves as an integration point for runtime.</p>
NFR-INTA-027	Integration Architecture	Service Oriented Architecture (SOA)	SOA Governance	<p>The security policy manager for web services shall allow for centrally defined security policies that govern web services operations (such as access policy, logging policy, confidentiality, integrity, and availability)</p>		Supported	N/A	<p>Our proposed solution for the TEDS uses WSSR in conjunction with IBM DataPower Gateway appliance to centralize the security policies for the enterprise. The security policies, crypto profiles, and AAA policies are centrally defined in the DataPower appliance and govern the Web service operations.</p>



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-INTA-028	Integration Architecture	Service Oriented Architecture (SOA)	-	The Solution shall incorporate a reference information model allowing for interoperability and integration across the HCFA's portfolio of systems. The reference information model shall be National Information Exchange Model (NIEM) and MITA conformant.		Supported	N/A	Our proposed solution for the TEDS provides out-of-the box integration to various interfaces such as SSA and other State/federal agencies, and the interfaces will comply with the NIEM, HL7 standards. Our proposed solution can support NIEM-conformant messages and expose any ruleset as a Web service that is easily accessible (callable) by any other component of the system. Our proposed solution is MITA-conformant.
NFR-INTA-029	Integration Architecture	-	-	The Solution's interfaces shall employ NIST and industry-standard best practices to secure and protect the data and the associated infrastructure from a confidentiality, integrity, and availability perspective.		Supported	N/A	Our proposed solution for the TEDS uses industry-standard best practices to secure and protect the data by using the following mechanisms where applicable: SSL Handshake, HTTPS, data encryption, Use of DataPower, and high availability mechanisms such as clustering and fail over.
NFR-INTA-030	Integration Architecture	-	-	The Solution shall have the capability to log and notify the system administrators/system support staff if an interface is not available for any particular reason. The notification and issue(s) shall be invisible to the applicant/beneficiary/client. Specifics of notification to be determined in design sessions.		Supported	N/A	Our proposed solution for the TEDS management console, Integration Management Console, provides a dashboard that displays Web service and application status and behavior on all the ESB nodes (whether the service is up and running). The management console can be configured to alert a configured set of users via email using SMTP when certain event thresholds are exceeded.
NFR-INTA-031	Integration Architecture	-	-	The Solution shall provide the capability to detect and remediate errors caused by batch processing and real-time processing via user defined rules.		Supported	N/A	Our proposed solution for the TEDS provides the capability to monitor and detect batch processing or real-time processing errors in a persistent store-like database. Alternate flows can be designed to process these using user defined rules. For example, if a Federal Data Services Hub (FDSH) service is down, the system will detect it and retry after a configurable time.
NFR-INTA-032	Integration Architecture	-	-	The Solution shall provide the capability to perform source to destination file integrity checks for exchange data and log, notify, and alert appropriate parties with issues.		Supported	N/A	Our proposed solution for the TEDS has the capability to accept different sets of data from external sources. The solution has the capability to poll an input file, read the file, check for the size of file, and validate the format. If the file format is wrong, or data integrity check fails, the solution has the ability to log all such errors in a persistent store-like database and alert the batch operators via email using SMTP.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes	
NFR-INTA-033		Integrati on Architect ure	-	-	The contractor shall describe the interface management approach and methodology used for the solution project.		Supported	C.9	Our proposed interface management approach and methodology used for the solution is a six-stage approach: 1) Interface/Integration Management approach Planning 2) Interface Requirements and Design Documentation 3) Interfaces and Integration Development 4) Interfaces and Integration Testing 5) Interfaces and Integration Deployment 6) Interfaces and Integration Maintenance and Operations



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
			<p>The contractor shall incorporate an interface management approach into a comprehensive Interface Management Plan for all interface mechanisms used for the Solution (e.g. batch, ESB/web services). The Interface Management Plan will be used by HCFA to document the plan for integrating the Solution with all systems internal and external to the HCFA. The Interface Management Plan shall, at a minimum, document the following areas:</p> <ul style="list-style-type: none"> i. The approach to developing and managing internal and external interfaces. ii. Technical tools that will be used for data transformation, transport and error recovery. iii. A description of how the SI's development standards will be reconciled, to reflect use of ESB and web services as wrappers to legacy systems. The contractor should produce example scenarios for integration reflecting their infrastructure components and toolset. iv. Tasks, deliverables and resources necessary to complete interface development and implementation. v. Description of how the solution development and test systems will work with the external interfaces. vi. Descriptions of the process for managing changes to the interfaces, both in the production and non-production environments. vii. List of solution interfaces, data format, frequency of updates and expected data volume. viii. Process for interfacing and collaborating with interface partners, including roles, responsibilities, deliverables and timelines. ix. How the State development and test systems shall work with the external non-production interfaces. 		Supported	C.9.1.1	<p>Our proposed solution for the TEDS includes a Management Plan and documents the following:</p> <ol style="list-style-type: none"> 1) Maintenance Roadmap, Project Plan, and Stakeholder Communication Plan, which will document our approach to developing and managing internal and external interfaces. 2) Deloitte will use the IBM Integration Bus, CA API Gateway for REST services, and Informatica PowerCenter configured as part of the NextGen solution toolset for performing ETL activities and resolving errors. 3) Deloitte's NextGen solution utilizes SOA architecture and IBM's Integration Bus ESB. The ESB and SOA are designed for a loose coupling that encapsulates business functions and will enable the State to re-use legacy system interfaces. This will include scenarios for integration of State systems. 4) Tasks, deliverables, and resources are identified in the interfaces sub-WBS of the project plan. This includes trading partners' tasks to facilitate communication and coordination across entities. 5) Master Test Plan that incorporates best-practices learned from previous projects for interface testing. For example, we have a pre-built test deck and an iterative approach that starts simple with increasing complexity, building on the success of prior iterations. The Test Management plan will also include automated testing for volume-based use cases, performance, and scalability testing that decreases risk and optimizes the time of trading partners and State staff. 6) Interface management protocol that includes governance for coordinated management of the services registry, specifications, WSDL, schedule, security standards, and escalation protocol, among others. This strict governance structure offers transparency and clarity for trading partners contributing to joint success. 7) Interface/Integration Management Plan for the TEDS that includes tasks and templates to define services, specifications, transport methods (e.g., SOAP XML, REST XML, and fixed length file), cycle schedule, method/protocol, expected volume, and escalation process. 8) Deloitte will identify key stakeholders including identifying their roles, responsibilities, deliverables, priority, timeline, and points-of-contact (POCs) in collaboration with State staff. This includes specification templates, communication plans for interface partners, and a project timeline to be elaborated on in advance of each subsequent phase of the project. 9) The approach to environment provisioning, maintenance, connection, and sharing concerning production and non-production environments will be documented in the Planning phase. This includes proposed volumes for trading partner tests.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-INTA-035	Integration Architecture	-	-	The contractor shall validate that each interface is working correctly. The contractor will repair all interface-related problems caused by SI-developed interfaces.		Supported	N/A	Our proposed solution for the TEDS includes a testing strategy that incorporates thorough functional and performance testing to validate that the interfaces are working correctly. Should any issues be identified during the testing phase, the Release Process Management process will be followed to prioritize and fix interface-related problems during the development life cycle.
NFR-INTA-036	Integration Architecture	-	-	The contractor shall assist HCFA in identifying root causes for all Solution interface related problems.		Supported	N/A	Deloitte will assist the State in identifying root causes for other solution interface related problems.
NFR-INTA-037	Integration Architecture	-	-	The contractor shall document all interfaces with an Interface Control Document (ICD) as required by the State using a State approved template.		Supported	N/A	During the interface development process, the Deloitte team works with the State and trading partners to document the Interface Control Document (ICD) that specifies the interface components between the systems by using the State-approved template.
NFR-INTA-038	Integration Architecture	-	-	The Solution shall employ an integration layer based on open standards for external messaging and service interaction.		Supported	N/A	Our proposed solution for the TEDS is built on n-tier architecture which separates the integration layer from the presentation, business, and persistence layers. Our integration layer is built on Open Standard SOA principles to achieve interoperability for interacting with external systems.
NFR-INTA-039	Integration Architecture	-	-	The Solution shall meet the MITA requirements for a modular design and the use of Service Oriented Architecture (SOA) and Enterprise Service Bus (ESB).		Supported	N/A	Our proposed solution for the TEDS uses IIB as ESB and conforms to MITA standards. Our proposed solution is designed to deliver improved services for the State in a cost-effective manner. Deloitte's compliance with MITA has been demonstrated in Ohio, Massachusetts, Pennsylvania, Texas, Wisconsin and Maine.
NFR-INTA-040	Integration Architecture	-	-	The Solution shall ensure interface pathways do not adversely affect other activities, such as regular operations, other jobs, reporting, queries, analytics, and ETL.		Supported	N/A	Our proposed solution for the TEDS relies on a variety of internal Application to Application (A2A) integrations. To validate that integration has no negative impact on either the user experience or the required application performance, we consider a variety of factors in our architecture. These factors include message prioritization, urgency of data, and orchestration. Our proposed solution's Test Management Plan also includes load testing to validate that the backend interface communication and Application to Application Integration do not affect other activities such as user activities, case worker application, any reporting processes, or ETL processing.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-INTA-041		-	-	The Solution shall reuse existing (legacy) interface connectivity and specifications (e.g. file layout, web service specification etc.) where appropriate and required by the State		Supported	N/A	Our proposed solution for the TEDS will reuse existing connectivity and specifications wherever appropriate. For example, if the State has FDSH services connectivity already established, we will reuse those interface specification and connectivity. We propose to use the State's existing IIB and WSSR and reuse existing connections where applicable.



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-DA-001	Data Architecture	Audit and Compliance	-	<p>The Solution shall provide audit controls including and not limited to the following:</p> <ul style="list-style-type: none"> i. User interfaces ii. Operation of the DBMS iii. Database administration v. Data definition and documentation ix. Security and access. Organizational policies and priorities x. Backup and recovery xi. Business continuity xii. Compliance with standards and requirements 		Supported	<p>Our proposed solution for the TEDS provides data audit controls for each of the listed operations. Some key auditing features are as listed below.</p> <ol style="list-style-type: none"> 1) A Caseworker is viewing demographic information of an applicant on a page or updating income of an applicant. These actions are logged. 2) A record is deleted from the database. A record is created in the audit trail of this deletion and associated timestamp. 3) The field length of a database column is changed by the DBA. This action is logged and the previous and new values of the length are stored along with the associated timestamp. 4) A column in a DB table is re-defined. The table that contains the metadata is stored in the audit logs so that the previous definition of the column is available. 5) A new user is provided read/update access to the system. The time of transaction and new user details are logged. 6) A system backup is performed as part of scheduled operation. The details about the backup and status (successful/unsuccessful) are logged. 7) The database is not available due to scheduled performance testing. The downtime will be logged. 8) The database will align with the standards. For example, FTI data storage will follow the data encryption including data in motion and data-at-rest security measures. Changes in the security settings are logged. <p>Our solution safely secures customer information and grants access only to authorized personnel. Additionally, the enhanced persistence layer allows audit history for records in the database to track specific transactions performed by a user. It also provides audit logging capabilities that span the User Interface Layer, Business Logic Layer, and Database Layer of the application. Whenever data enters or exits the System, either the events, summary, or the data content is logged in the audit trail, depending on the type of transaction and data.</p>



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-DA-002	Data Architecture	Audit and Compliance	-	The Solution shall produce an accessible transaction and audit trails that is human readable and meet standards outlined in the State and Federal guidance.		Supported	N/A	Our proposed solution for the TEDS includes a View Action History screen through which audit trails of online transactions performed by users can be viewed in a legible manner. The View Action History screen is available to authorized users in the application flow of the Worker Portal. Our audit trails align with State and federal requirements based on audit controls specified in NIST 800-53.
NFR-DA-003	Data Architecture	Audit and Compliance	-	The Solution shall use history tracking within the database and logging options (e.g., transaction auditing)		Supported	N/A	Our proposed solution for the TEDS has the capability to track historical information and transaction auditing. For example, if a citizen has moved across multiple addresses while receiving assistance, the various historical addresses can be tracked and viewed by the case workers. Similarly, if the client reports a change in last name, original record is moved to the auditing table and be retrieved for future reference. In addition our proposed solution also leverages Oracle's native Auditing capabilities for database level changes including DDL and DML changes.
NFR-DA-004	Data Architecture	Audit and Compliance	-	The Solution shall where possible employ a software agent that run the data server, enabling a policy-based data access compliance and monitoring.		Supported	N/A	Our proposed solution for the TEDS employs Oracle Database Vault that integrates with Oracle Cloud Control, enabling policy-based access to compliance and monitoring for deviations from policy design.
NFR-DA-005	Data Architecture	Audit and Compliance	-	The Solution shall ensure all modules have plans and procedures in place to meet audit and compliance requirements for the Eligibility System		Partially Supported	N/A	Our proposed solution's technical design for the TEDS includes audit logging and compliance as a core aspect during the design of each module. We are aware of NIST 800-53 playing a key role in the architecture for the TEDS, and will align with it to meet audit and compliance requirements that can be configured in our proposed solution as part of the enabling events at platform product levels as well as enabling pages within the Worker Portal and Member/Partner Portal applications. We will review these with the State during JAD sessions and derive settings to implement for the solution for development, testing and production environments.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-DA-006	Data Architecture	-	-	The Solution shall allow for a unique public identifiers for key data records that are consistent and of sufficient length to allow for unique values throughout the life of the Solution. The Solution shall allow for a generation of a check digit to be appended to the public identifiers.		Supported	N/A	Our proposed solution for the TEDS uses public identifiers. We leverage our experience to allocate sufficient length for public identifiers so that the system does not run out of identifiers. For example, 11 digits is used to identify an individual in the system and first 10 digits when run through an algorithm should always result in the 11th digit. The 11th digit is then used as the check digit in the system. This validates that each individual in the system is identified uniquely and the use of check digits leads to less data errors.
NFR-DA-007	Data Architecture	-	-	The Solution shall allow public identifiers to be displayed on screens and in correspondence with a reader friendly format mask / template (e.g., 123-12-3232-8, 123-122-123-A) but stored in the database without formatting characters or check digit.		Supported	N/A	Our proposed solution's user interface for the TEDS facilitate data entry in an intuitive manner. For example, While entering the SSN the user will be presented with 3 set of text boxes to enter the number and validate that the lengths are 3,2 and 4 respectively. If a person enters 111-11-3333 for a phone number in these three text boxes, phone number will be stored as 111113333 in the transactional database where as while displaying on screen it would be 111-11-3333.
NFR-DA-008	Data Architecture	-	-	The Solution shall allow screen input fields to accept public identifiers, with or without format mask characters, and the logic shall be smart enough to strip out any formatting characters prior to performing database actions.		Supported	N/A	Our proposed solution's user interface for the TEDS facilitate data entry in an intuitive manner. For example, While entering the SSN the user will be presented with 3 set of text boxes to enter the number and validate that the lengths are 3,2 and 4 respectively. If a person enters 111-11-3333 for a phone number in these three text boxes, phone number will be stored as 111113333 in the transactional database where as while displaying on screen it would be 111-11-3333.
NFR-DA-009	Data Architecture	-	-	The Solution shall allow public identifiers to be immutable (cannot be changed) but if record instances are merged, for example, then it is possible that a given entity instance will have multiple identifiers. When an entity has multiple identifiers, one identifier shall be considered the prime (master) identifier and used in ongoing correspondence, etc. However, all identifiers remain valid (just no longer "published") and can be used in search screens to find entity occurrences.		Partially Supported	N/A	Our proposed solution for the TEDS provides the ability to merge client IDs if two IDs in the system are representing the same client. After the IDs are merged, one of the ID's will be marked as secondary and will not be used for future association purposes. However, the information listed on the secondary individual ID, such as DOB, can still be searched on the client inquiry screen. This logic does have dependencies on integration points with State-existing MPI, therefore, we believe there may be customization necessary, based on the existing governance rules within State MPI, leading to achieving the same functionality with a slightly different technical approach to enable it.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-DA-010	Data Architecture	-	-	The Solution shall allow the data model to follow consistent and logical naming standards.		Supported	N/A	Our proposed solution's data model for the TEDS follows consistent and logical naming standards. Each of our database changes are reviewed and verified by our team before implementation. As part of this process, our team validated the naming standards for consistency and will validate for business-oriented description of the column names and tables.
NFR-DA-011	Data Architecture	-	-	The Solution shall allow for the tracking of all last-accessed-by and all last-accessed timestamp for record retention and archiving in a way that minimally impact to the system performance.		Supported	N/A	Our proposed solution's data architecture for the TEDS provides the capability to capture create user id, create id, update user id, update id where applicable. The ability to capture this information is built-in as part of our NextGen framework and does not have any additional impact to the system performance. This information can be used as a criteria for record retention and archival. Note that archival out of the system requires compliance with federal rules that are case and individual centric. Hence, we find that for case centric data use of database partitioning tends to lend itself as a better strategy and only rely on purge of trigger tables, audit logs and trading partner files based on a time driven parameter of 7 years or more dependent on the State audit retention policies.
NFR-DA-012	Data Architecture	-	-	The Solution shall allow data elements the track the created-by, creation timestamp, last-updated-by and last-updated timestamp.		Supported	N/A	Our proposed solution's data architecture for the TEDS provides the capability to capture create user id, create id, update user id, update id where applicable. The ability to capture this information is built-in as part of our NextGen framework.
NFR-DA-013	Data Architecture	-	-	The contractor shall provide the Conceptual, Logical and Physical models for the solution in source format and other formats designated by State.		Partially Supported	N/A	Our proposed solution for the TEDS is based on a mature established production proven data model. For the TEDS we will add database tables and elements to it, however since it is an established model we will provide a detailed data dictionary that has business name for tables and columns in addition to the physical names. This when combined with Erwin provides more than required detail that a Conceptual and Logical data model would capture. For brand new systems starting from scratch, the LDM and Conceptual Data Models are used to drive the PDM and after majority of the PDM is established industry practice is to maintain the data dictionary with business context but directly model within the PDM since the constraints of the PDM lead to more realistic design of the application. Based on that we will produce the PDM and Data Dictionary and maintain it during the project. Erwin will be the PDM tool and Excel format will be used for Data Dictionary.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-DA-014	Data Architecture	-	-	The Solution shall comply with Information Model data standards, including but are not limited to: i. Data format and content standards ii. Consistent definition of data elements in all data stores		Supported	N/A	Our proposed solution's information model for the TEDS aligns with consistent data format and content standards and consistent definition across all data stores. For example, client ID is stored in indiv_id column across all data stores. Our proposed solution comes with a production-proven, mature data model tailored to meet the TEDS solution requirements. A detailed approach is followed by our team to keep the Data format and content standards consistent for all new development as well.
NFR-DA-015	Data Architecture	-	-	The contractor shall provide to the State data flow diagrams including but not limited to the following: i. Node to node traffic (from data source to data destination) including all data repositories and pass-through systems involved ii. Between various logical elements of a particular unique solution or application (e.g., link between front-end and back-end elements)		Supported	N/A	Our proposed solution for the TEDS provides data flow diagrams as part of interface specifications and storyboard specifications that include: 1) Node to Node traffic. For example in the case of State receiving FFM applications, our dataflow diagrams include data objects from HUB, FDSH calls, Rules Engine, Eligibility System, Customer Communication, interface to MMIS. 2) Between various logical elements of a particular unique application. For example in the case of a case worker registering a new application, our data flow includes the data flow between presentation layer to the framework layer, business layer and the actual OLTP database.
NFR-DA-016	Data Architecture	-	-	The contractor shall provide a data classification plan/document to the State.		Supported	C.14.6	Data classification will be maintained in the data dictionary according to categories for PHI, PII and FTI classification. Tables marked for FTI data will reside in their own Tablespace. Additional tablespace division will be done based on a combination of performance and business needs. Note that Transparent Data Encryption is enabled for tablespaces using Oracle Advanced security.
NFR-DA-017	Data Architecture	-	-	The contractor shall provide data model diagrams i.e. Entity Relationship diagram to the State.		Supported	N/A	Our proposed solution's DBA team for the TEDS will create an Entity Relationship diagram using Erwin data modeler to provide the State with a Physical Data Model. This data model will be maintained as part of the project lifecycle and updated based on design changes in DDI and O&M.
NFR-DA-018	Data Architecture	Data Exchanges	-	The Solution shall have the capability to provide data and access to other Solutions that are part of the enterprise service.		Supported	N/A	Our proposed solution for the TEDS has the ability to perform Web service based or file based data exchanges with other solutions that are part of the enterprise service. For example, our proposed solution exchanges data with the MMIS system to exchange data.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-DA-019	Data Architecture	Data Exchanges	-	<p>The Solution shall have the ability to use secure File Transfer Protocol (FTP) to accommodate file transfers including but not limited to the following:</p> <ul style="list-style-type: none"> i. Transport Layer Security (TLS) ii. Secure Electronic Transaction (SET) iii. Secure Copy (SCP) 		Supported	N/A	<p>Our proposed solution's File Transfer Protocol for the TEDS will accommodate the following:</p> <ul style="list-style-type: none"> 1) Privacy of the communicating applications and users will be factored into the design so that data theft due to eavesdropping can be prevented. Industry standards such as TLS will be the baseline for such a design. 2) Security of financial transactions including tax related information, by use of Digital certificates and Digital Signatures in compliance with SET. 3) Preventing the confidentiality and authenticity of the files being transferred by adhering to Secure Copy Protocol.
NFR-DA-020	Data Architecture	Data Exchanges	-	The Solution shall provide the ability to import/export data. (e.g. Open Data Base Connectivity [ODBC]-compliant and/or other generally accepted formats.)		Supported	N/A	Our proposed solution for the TEDS has the ability to export or import data in a manner that is in-line with the industry standards. The files produced by the proposed solution will be compliant to ODBC and JDBC and the solution is able to import data using ODBC and JDBC connectivity based on native capability of the Oracle Database platform.
NFR-DA-021	Data Architecture	Data Exchanges	-	The Solution shall provide the ability to leverage the Federal Data Services Hub (FDSH) to provide verification from federal agencies such as the Internal Revenue Service, Department of Health and Human Services, and Department of Homeland Security to eliminate the independent establishment of those interfaces and connections at the State level.		Supported	N/A	Our proposed solution for the TEDS leverages existing FDSH services for verification of SSN, Lawful Presence, Income and Citizenship information of the client.



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes	
NFR-DA-022	Data Architecture	Data Exchanges	-	<p>The Solution shall have the ability to request (retrieve), access and store data from the following sources including but not limited to:</p> <ul style="list-style-type: none"> i. Federal Data Services Hub (FDSH) ii. Department of Homeland Security (DHS) iii. Internal Revenue Service (IRS) iv. Medicaid Management Information System (MMIS) v. TN Department of Labor and Workforce vi. TN Benefits and Administration vii. National Institutes of Health (NHI) viii. National Association for Public Health Statistics and Information Services? (NAPHSIS) x. TN Department of Corrections 		Supported	N/A	<p>Our proposed solution for the TEDS has the capability to request, access, and store data from the following:</p> <ol style="list-style-type: none"> 1) Federal Data Services Hub (FDSH) - For verifying client's SSN, Citizenship, Lawful Presence, Annual Household Income. 2) Department of Homeland Security (DHS) -To access and retrieve the immigration status of the client. 3)Internal Revenue Service (IRS)- To access and retrieve the tax information of the client. 4)Medicaid Management Information System (MMIS) – To send Medicaid eligibility information and access Information about Medical Benefits of the client. 5) TN Department of Labor and Workforce – Information about different jobs held by the client 6) TN Benefits and Administration – Information about state provided insurance benefits 7)National Institutes of Health (NHI) – National Health Information (for informational purposes) 8) National Association for Public Health Statistics and Information Services (NAPHSIS) – Information about Public Health (for informational purposes) 9) TN Department of Corrections – Information about record in correctional facilities/prison by applicants
NFR-DA-023	Data Architecture	Data Exchanges	-	The contractor shall provide a data dictionary and data schemas to the State.		Supported	N/A	Deloitte will share a data dictionary that outlines the types of data and corresponding sensitive data elements including the corresponding security classification for each sensitive data type. The data dictionary will list the source of the sensitive data type, its storage location, and retention period. Additionally, data schemas will be published after the data base design is finalized and reviewed.
NFR-DA-024	Data Architecture	Data Exchanges	-	The Solution shall allow for files received through secure FTP to be stored in a secure file repository where access can be audited.		Supported	N/A	Our proposed solution for the TEDS through its operations will allow only authorized personnel to have access to the files received from the secure FTP. Access to these files can be reviewed and audited.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-DA-025	Data Architecture	Data Management	-	The Solution shall provide the ability to perform real-time electronic address verification and address validation against addresses in US postal database.		Supported	N/A	Our proposed solution for the TEDS leverages State's existing enterprise QAS address validation software to validate the accuracy and completeness of client addresses and provide the ability for case workers to take necessary corrective actions where appropriate.
NFR-DA-026	Data Architecture	Data Management	Data Retention	The contractor shall develop and execute a record retention schedule in accordance with federal and state regulations as approved by HCFA and with minimal impact to system performance and availability.		Supported	N/A	Deloitte will work with the State to develop and execute a record retention schedule in accordance with Federal and State requirements. After the plan is developed, it will be reviewed and approved with HCFA. Using our experience of doing archiving and purging on similar implementations, we classify these operations in to those which can run during our batch operations and the others which can be run during our maintenance windows. This is done to have a minimal impact to the system performance and availability.
NFR-DA-027	Data Architecture	Data Management	Data Retention	The Solution shall maintain records and supporting documentation under audit or involved in litigation for a length for time as determined by the State.		Partially Supported	N/A	Our proposed solution for the TEDS provides the capability to retain the records that are flagged for audit or involved in litigation. Deloitte will work with the State during the requirements phase of the project to document the guidelines for record keeping.
NFR-DA-028	Data Architecture	Data Management	Data Retention	The Solution shall have the ability to re-establish an aged record (unarchive).		Partially Supported	N/A	Our proposed solution for the TEDS provides the ability to insert case records through break fixes in the unlikely event of the State having to bring them back to the OLTP. It is our understanding that the State will maintain the data that is archived on the tapes and will work with the State to establish a process for unarchiving the data necessary to create a case record. Note that archival out of the system requires compliance with federal rules that are case and individual centric. Hence, we find that for case centric data use of database partitioning tends to lend itself as a better strategy and only rely on purge of trigger tables, audit logs and trading partner files based on a time driven parameter of 7 years or more dependent on the State audit retention policies.
NFR-DA-029	Data Architecture	Data Management	Data Retention	The Solution shall adhere to security and audit controls applying to storage, backup, retrieval, and viewing of archive data records including to not limited to secure and encrypted storage, encrypted backups, and audit trail.		Supported	N/A	Our proposed solution for the TEDS aligns to the established security and audit controls for storage, backup, retrieval and viewing of archive data records. We will work with the State to define the process and appropriate access levels using State existing tools. Our proposed stack for database is made up of Oracle Database products that lend themselves quite well to integrating with state existing tools such as standard backup appliances such as Netback-up, etc. using patterns driven by Oracle RMAN and Advanced compression.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-DA-030	Data Architecture	Data Management	Data Retention	The Solution shall include the ability to list an inventory of records included in purge / archive as a report. Where applicable, the purge process shall executed in a way the enables the audit trail to capture the event.		Supported	N/A	Our proposed solution for the TEDS, produces a report of the purge/archives that will be done and will be reviewed with the State before archival/purge. All purge activities that are performed and either tracked in JIRA or done as part of the scheduled maintenance events which are tracked in our proposed solution's batch. Note that archival out of the system requires compliance with federal rules that are case and individual centric. Hence, we find that for case centric data use of database partitioning tends to lend itself as a better strategy and only rely on purge of trigger tables, audit logs and trading partner files based on a time driven parameter of 7 years or more dependent on the State audit retention policies.
NFR-DA-031	Data Architecture	Data Management	Data Retention	The Solution shall maintain an archival process so that accumulated historical records and log files do not consume large amounts of disk space and adheres to tiered data storage.		Supported	N/A	Our proposed solution for the TEDS provides controlled logging capabilities so that each log files maximum storage size is specified. Once the maximum storage is reached for a log file, it will be moved automatically to a historical log file. Our proposed solution comes with a pre configured number of historical files and a recommended size limit for each type of log file. These limits can be configured for Tennessee and will adhere to the State's tiered data storage.
NFR-DA-032	Data Architecture	Data Warehouse	-	The Solution shall provide an auto archive/purge of the log files to prevent uncontrolled growth of the log and historical records storage using administrator-set parameters.		Supported	N/A	Our proposed solution for the TEDS provides controlled logging capabilities so that each log files maximum storage size is specified. Once the maximum storage is reached for a log file, it will be moved automatically to a historical log file. Our proposed solution comes with a pre configured number of historical files and a recommended size limit for each type of log file. These limits can be configured for Tennessee and will adhere to the State's tiered data storage.
NFR-DA-033	Data Architecture	Data Warehouse	-	The Solution is envisioned as having an OLTP database, and data warehouse. The contractor shall develop a business intelligence data warehouse or data mart.		Supported	N/A	Our proposed solution for the TEDS has OLTP database for transactional data and an ODS (Operational Data Store) that is replicated from the OLTP using Oracle Golden Gate. ETL operations are run on ODS, so that there is no performance impact when the data is being extracted for the proposed BI solution, HHS Interactive on Deloitte ClearLight platform and data mart.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-DA-034	Data Architecture	Data Warehouse	-	The Solution shall populate the data warehouse so that it minimally includes data from: i. The OLTP database ii. Data from any ancillary databases, e.g., any decoupled CRM system. iii. Operational data from inbound document processing		Supported	N/A	Our proposed BI solution for the TEDS, HHS interactive built on Deloitte ClearLight platform provides the ability to populate data mart from 1)ODS, operational data store that gets data from the OLTP database 2)Data ancillary databases like CRM. 3)Operational data from FileNet.
NFR-DA-035	Data Architecture	DBMS	-	The Solution shall include a data warehouse that is no more than 24 hours behind the main OLTP database.		Supported	N/A	Our Proposed solution for the TEDS has an operational data store that is populated in near real-time, using Oracle GoldenGate and a data mart on our Deloitte ClearLight Platform that is scheduled to sync on a nightly basis.
NFR-DA-036	Data Architecture	DBMS	-	The Solution shall use a Relational Database Management System (RDBMS) to support OLTP, batch processing, mixed workloads and business intelligence.		Supported	N/A	Our proposed solution uses oracle 12c as OLTP, batch processing, mixed workloads. Business intelligence will be provided through our Deloitte ClearLight platform which uses RDBMS as well.
NFR-DA-037	Data Architecture	DBMS	-	The Solution shall allow referential integrity enforcement to be enabled in the OLTP database unless there is an exception scenario that is approved by HCFA.		Supported	N/A	Our proposed physical data model is normalized or de-normalized to optimize for the TEDS. Additionally, database constraints such as referential integrity constraints, indices, sequences are reviewed and updated.
NFR-DA-038	Data Architecture	DBMS	-	The Solution shall provide the ability for concurrent users to simultaneously view the same record, documentation and/or template.		Supported	N/A	Our proposed solution provides the ability for concurrent users to simultaneously view the same record, documentation and/or template. For example an inquiry user, supervisor and the case worker can simultaneously view case comments, case information and client information using the corresponding inquiry screens.
NFR-DA-039	Data Architecture	DBMS	-	The Solution shall implement optimistic locking or a similar protection to maintain the integrity of data during concurrent access where one user may update may overlay another update.		Supported	N/A	Our proposed solution includes Oracle database which uses optimistic locking by default. This feature allows the rows to be not locked when they are read. In certain specific instances where pessimistic locking is necessary, we will work with the State to document the exceptions. This architecture leads to supporting concurrent access of data without sacrificing update integrity from a user standpoint.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-DA-040	Data Architecture	DBMS	-	The Solution shall support online modifications to database structures with minimal system downtime.		Supported	N/A	Database structure modifications are identified early in the SDLC process during requirements and design and will be part of an schedule release plan. Usually, database structure modifications are associated with corresponding application code changes that are deployed during the scheduled maintenance window. In the unlikely event of having to modify just a database structure, our proposed solution provides the ability to do a database only build with a minimal downtime.
NFR-DA-041	Data Architecture	DBMS	-	The Solution shall allow for data and transaction replication including, but not limited to, copying an instance of any database to specified locations (e.g. SAN, Multi-site implementations to support high availability and recovery point and time objectives) and resolve replication issues.		Supported	N/A	Our proposed solution will use Oracle Active Guard to replicate the data from the primary site to secondary site. Our proposed solution also uses Oracle Golden Gate to replicate the data from OLTP to ODS. This will provide the capability to support high availability and meet the RTO and RPO timelines as agreed upon with the State. For the core high availability needs, Oracle will be deployed in RAC configuration itself to support active-active pattern.
NFR-DA-042	Data Architecture	DBMS	-	The Solution shall provide standard data extraction APIs and utilities to allow secure and efficient import and export of data.		Supported	N/A	Our proposed solution contains Oracle Exadata, which is a combined compute and storage system optimized for running Oracle Database software. This provides the capability of standard data extraction APIs and utilities to allow secure and efficient import and export of data that are native to Oracle Database platform.
NFR-DA-043	Data Architecture	DBMS	-	The Contractor shall provide a Data Management Plan that includes, but is not limited to, optimum database configuration settings, patching procedures, client maintenance, and change control.		Partially Supported	N/A	Deloitte will work with the State to address the following deliverables with respect to data configuration:- <ul style="list-style-type: none"> • Provide configuration and operations documentation including, but not limited to optimum database configuration settings, patching procedures, client maintenance, and change control • Provide a capacity plan that addresses sizing for data configuration.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-DA-044	Data Architecture	DBMS	-	The Solution shall handle load balancing, failover and/or clustering ability for extended scalability and performance.		Supported	N/A	Our proposed solution will be hosted on a virtual, converged infrastructure platform in the HCFA data center, sized to accommodate the required environments and recommended sizing from the various product vendors. For database components, the hardware platform will be Oracle Exadata. These platforms provide the elastic capacity, fault tolerance, and redundant components for high availability infrastructure. In addition at the software layer, we will utilize Oracle RAC that will provide active-active, load-balanced, high availability for the transactional database. For our BI solution, Deloitte ClearLight uses a failover-based pattern for the Data Mart, with replication that provides high performance and scalability as part of the platform.
NFR-DA-045	Data Architecture	DBMS	-	The contractor shall provide a capacity plan that addresses sizing for data configuration.		Supported	N/A	Deloitte will work with the State to provide a capacity plan that addresses sizing by estimating the space use of the table and obtaining the object growth trends using out of box Oracle Cloud Control reports.
NFR-DA-046	Data Architecture	DBMS	-	The Solution shall support advanced configurations for data caching (e.g., support of client/application caching, support of server caching, etc.)		Supported	N/A	Our proposed solution does cache of reference table data. Master Reference Schema like user access, authorization levels, etc. are supported with advanced caching options.
NFR-DA-047	Data Architecture	DBMS	-	The Solution shall be fully ACID (Atomicity, Consistency, Isolation, Durability)- compliant so as to ensure it handles transaction rollbacks, validity and referential integrity checks, etc.		Supported	N/A	The Oracle DB for the proposed solution aligns with ACID. Additionally our NextGen solutions transaction attributes complements the ACID for each transaction.
NFR-DA-048	Data Architecture	DBMS	-	The Solution shall support indexing technology (multiple types of Indexing shall be available to tune performance of SQL statements).		Supported	N/A	Our proposed solution's data model comes with pre configured indexes to support performance. Additionally, Indexing technology will also be incorporated to tune performance of SQL statements based on AWR reports from Oracle Cloud Control and other performance monitoring tools that can provide tuning insight.
NFR-DA-049	Data Architecture	DBMS	-	The Solution shall be able to manage multiple query queue entries in parallel.		Supported	N/A	Our proposed solution for the TEDS uses Oracle database indexing technology that is incorporated to tune performance of SQL statements. Oracle database has native query queue features to support multiple query queues including parallel hint based queues.
NFR-DA-050	Data Architecture	DBMS	-	The Solution shall offer tools to manage and control disparate mixed workloads in a Database Management Solution (DBMS) environment.		Supported	N/A	Our proposed solution's DBMS for the TEDS, Oracle 12c utilizes database indexes that improve the speed of operation in the database. This allows our proposed solution to manage and control disparate mixed workloads in a Database Management Solution (DBMS) environment.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-DA-051	Data Architecture	DBMS	-	The Solution must have the ability to provide for a capability for a "Separation of Duties " between the database administrator and the security administrator such that database security controls and audit logs may not be altered or disabled without the collusion of the two administrator roles.		Supported	N/A	Our proposed solution for the TEDS uses Oracle Database platform that enables use of Oracle Advanced Security and Oracle Audit Vault that lend themselves out-of-the-box to separation of duties between DBAs and Security Administrators. State designated individuals can be configured in these tools to have access setup where the DBAs cannot disable security controls and audit logs by themselves without involving a security administrator.
NFR-DA-052	Data Architecture	DBMS	-	The Solution shall have full, incremental and transaction log backup and recovery capabilities on both a regular schedule and an ad hoc basis, including but not limited to redundant incremental off-site backups and a monthly demonstration of back-up capabilities		Supported	N/A	Our proposed solution for the TEDS contains Oracle RMAN, an essential component for protecting the content of Oracle database. Oracle RMAN can be used to create backup sets, image copies, and incrementally updated backups of Oracle Exadata content.
NFR-DA-053	Data Architecture	DBMS	-	The Solution shall provide the capability to remain fully-functional during database backup windows.		Supported	N/A	Our proposed solution's daily full database backups occur in a way that enables the database to remain fully-functional during that time. This includes incremental and full backups. The RMAN utilities in Oracle database are configured for these specific settings to allow backups to not disrupt database functional access.
NFR-DA-054	Data Architecture	DBMS	-	The Solution shall store appropriate data in an industry-standard commercially available relational database that supports referential integrity rules.		Supported	N/A	Our proposed solution for the TEDS uses a relational database that supports referential integrity so that data cannot be updated in a manner that makes related data inconsistent and allows for online and batch processing.
NFR-DA-055	Data Architecture	DBMS	-	The Solution shall provide Standard Query Language (SQL) capabilities for database queries based on security role and protocols.		Supported	N/A	Our proposed solution for the TEDS is Oracle Database that has SQL capabilities for standard queries. It also provides the ability to restrict access to certain database schemas/tables to specific security role based on the established protocols. For example, FTI data is encrypted before storing in the system and can only be accessed by state approved authorized personnel.
NFR-DA-056	Data Architecture	DBMS	-	The contractor shall provide DBMS performance and benchmark stats based on the purposed DBMS OS.		Supported	N/A	Deloitte monitors database performance regularly using Oracle Cloud Control based alerts and dashboards, allowing us to detect and resolve problems in a timely manner. We will provide DBMS performance and benchmark stats that come from Oracle Cloud Control to the State.
NFR-DA-057	Data Architecture	Extract, Transform, Load (ETL)	-	The Solution shall provide database tools that include, but are not limited to: SQL performance logging and monitoring; SQL access path analysis with tuning advisory capabilities.		Supported	N/A	Our proposed solution for the TEDS provides monitoring and SQL analysis tools such as Oracle Diagnostics Pack and Oracle Tuning pack which will monitor SQLs real-time and automate the SQL tuning process.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-DA-058	Data Architecture	Extract, Transform, Load (ETL)	-	The Solution shall have the ability to convert message formats and translate coded data within messages.		Supported	N/A	Our proposed solution for the TEDS has the necessary business logic to manipulate the data values and the representation of those values for transport or conversion purposes. For example, if the legacy system has two income fields which by design need to be converted into one field in the new system, our proposed solution will identify the cross mapping and translate the coded data as part of the conversion process.
NFR-DA-059	Data Architecture	Extract, Transform, Load (ETL)	-	The Solution shall provide support for a metadata repository for data and message conversion and transformations.		Supported	N/A	Our proposed solution for the TEDS has the capability to support the metadata repository to convert and transform data from legacy to the TEDS.
NFR-DA-060	Data Architecture	Extract, Transform, Load (ETL)	-	The Solution shall provide the technology to implement processing logic that can manipulate data values, and the representation of those values for transport or conversion purposes. This processing logic is used to establish a common meaning of data, improve data quality or federate data from multiple sources.		Supported	N/A	Our proposed solution for the TEDS has the necessary business logic to manipulate the data values and the representation of those values for transport or conversion purposes. For example, if the legacy system has income stored in two data sources and need to be consolidated during conversion, our proposed solution has the ability to federate the data and store in the TEDS. Additionally, our proposed solution also has the capability to address data quality issues like duplicate entries, inconsistent addresses, null values, data entry errors and incorrect data types (alpha characters where numeric is expected).
NFR-DA-061	Data Architecture	Extract, Transform, Load (ETL)	-	The Solution shall provide tools for data source and target connectivity: Adapters for a range of source types beyond Relational Database Management Solutions (RDBMS's) and legacy databases (access to data stored in non-relational structures - for example, VSAM files and IMS databases), including packaged applications and Web services, and the ability to interpret (as a source and a target) XML structures, and flat files.	The State will provide data models as applicable.	Supported	N/A	Our proposed solution for the TEDS proposes Informatica PowerCenter for data source and target connectivity. Our proposed solution also has the ability to accept and process XML files, flat file. Informatica PowerCenter also supports adapters for legacy databases and other formats including packaged applications and Web services that require additional licensing based on adapter type and source system type.



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-DA-062	Data Architecture	Extract, Transform, Load (ETL)	<p>The Solution shall provide tools to support the Extract-Transform-Load (ETL) process that includes but is not limited to the following the following:</p> <ul style="list-style-type: none"> i. Extracting data from data sources. ii. Transforming it to fit business needs (which can include quality levels). iii. Data validation and verification check prior to target data store. iv. Loading it into the target data store. v. Caching: The ability to cache federation results and various subsets of the source data to improve performance in situations where source data volumes are large; therefore, retrieving all data required for integration directly from the source is not feasible. vi. Verbose ETL process logging to allow for ease of support and debugging. vi. Multi-threaded parallel operations to support high volume throughput vii. Support for SQL Merge or equivalent construct to enable efficient Insert, Update processing for incremental loads to target database and enable restart with backing out changes in the event a load fails mid-stream vii. Smart / checkpoint restart to enable complex jobs to restart at point of failure and resume where they left off viii. Support Data Quality functionality and key performance indicators 		Supported	N/A	<p>Our proposed solution for the TEDS uses Informatica PowerCenter for ETL and has the capability to support the listed functions as follows:</p> <ol style="list-style-type: none"> 1. Extracting data from data sources (RDBMS, Flat Files, XML files) 2. Transforming using standard ETL expression, lookup, rank and aggregation transformations to support business needs including imposing data quality constraints 3. Loading using tool based and database aware load for target data stores 4. Utilizing both database cache and internal Informatica PowerCenter cache for managing federation results and large volumes of data to handle performance concerns 5. Native logging and monitoring of ETL processes including support for verbose logging 6. SQL Merge equivalent support to perform insert and update processing including incremental loads with checkpoint/restart capabilities that do not require a full back out in the event of a midstream load failure 7. Checkpoint restart for ETL workflows and mapping executions 8. Supports data quality features and reporting on business metrics that serve as ETL key performance indicators



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-DA-063	Data Architecture	Extract, Transform, Load (ETL)	-	<p>The Solution shall have the ability to load data and quality check data in a variety of approaches including but not limited to the following:</p> <ul style="list-style-type: none"> i. Bulk data extraction and loading ii. Granular trickle-feed acquisition and delivery iii. Changed-data capture (ability to identify and extract modified data) iv. Event-based acquisition (time-based or data-value-based) 		Supported	N/A	<p>Our proposed solution for the TEDS uses Informatica PowerCenter for ETL and supports:-</p> <p>Bulk data extraction and loading: - For extracting large batches of data from the source table and load into destination table.</p> <p>Granular trickle-feed acquisition and delivery: - This is used in instances where we need to define source will be defined as the trickle feed from which data will be flowing in to the system</p> <p>Changed-data capture:- This is used when by creating a trigger on the source upon data change and the trigger is processed.</p> <p>Event-based acquisition:- This is used when an event like an address update occurs on the source system, a trigger is created for the ETL process</p>
NFR-DA-064	Data Architecture	Extract, Transform, Load (ETL)	-	<p>The Solution shall include but not limited to the following types of transformation:</p> <ul style="list-style-type: none"> i. Simple transformations such as data-type conversions, string manipulations and Simple calculations ii. Moderate-complexity transformations, such as lookup and replace operations, aggregations, summarizations, deterministic matching and management of slowly changing dimensions iii. Higher-order transformations, such as sophisticated parsing operations on free-form text and rich media Facilities for developing custom transformations and extending packaged transformations iv. Facilities for developing custom transformations and extending packaged transformations 		Supported	N/A	<p>Our proposed ETL for the TEDS uses Informatica PowerCenter that allows transformations for</p> <ol style="list-style-type: none"> 1) Simple transformations such as converting from date to timestamp using expression transformations. 2) Moderate-Complexity such as aggregating monthly income from various frequency of incomes. 3) Higher-order transformations such as parsing a address line in to street #, street type, street name. 4) Facilities for developing custom transformations and extending packaged transformations.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-DA-065	Data Architecture	Master Data Management	-	The Solution shall adhere to all ETL requirements for historical data conversions from the legacy system to the proposed new system.		Supported	N/A	Our proposed solution for the TEDS provides the ability to convert active cases and associated historical cases determined to be operationally necessary to support the day-to-day case worker activities and denial/closure appeals. In most circumstances, converting the most current snapshot of the case record will be sufficient to continue business operations. In certain situations where relevant historical records are required to support open and pending case business flows, data will be converted.
NFR-DA-066	Data Architecture	Master Data Management	-	The Solution shall support identification of a unique person, where multiple records can exist using the matching service provided by Master Person Index (MPI).		Partially Supported	N/A	Our proposed solution for the TEDS supports the identification of unique person using State's existing MPI. When more than one match is found, then the solution will present an option for the case worker to pick the best fit match along with a suggested score for matching. When a client is added as a member to a case and identified as a known individual, the member is linked to the existing member record within the Master Person Index and the unique identifier previously established is reused
NFR-DA-067	Data Architecture	Master Data Management	-	The Solution shall be configured in such a way that changes applicant information that are shared with the MPI, MMIS, and other partner systems remain in synchronization.		Partially Supported	N/A	Our proposed solution for the TEDS uses State existing MPI. When the case worker adds an individual or updates certain specific demographic information in the TEDS, then this information is updated in MPI through a Web service call. We will use the State's existing alerting mechanisms to have this information sent out to other partner systems that use the same MPI. This information is also sent as part of the demographic updates in the night batch process to MMIS system.
NFR-DA-068	Data Architecture	Data Management	Metadata Management	The Solution shall be able to submit new member/applicant records to the MPI. The member/applicant record may include but not limited to: i. Identification ii. Demographics iii. Contact information iv. Relationships to the member		Partially Supported	N/A	Our proposed solution for the TEDS will submit new member/applicant records to the State existing MPI as soon as the applicant is added to the TEDS. This is done through a Web service call to IBM initiate. We assume that the existing service has the capability to take Identification Id, demographic information, contact information and relationships to the member.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-DA-069	Data Architecture	Data Management	Metadata Management	The Solution shall create and document a consistent XML taxonomy that uses the same XML tags and attributes for the same data elements and concepts. The taxonomy should be based on National Information Exchange Model(NIEM). The taxonomy shall be used to in define data exchanges but there shall be an English language overview of the approach, organization, standards, key elements, naming patterns, abbreviations, etc.		Partially Supported	N/A	Our proposed solution for the TEDS creates a consistent XML taxonomy based on National Information Exchange Model (NIEM). We assume that the State existing MPI solution is based on NIEM so that integrations with it would also follow the same NIEM alignment. Deloitte will work with the State to identify all the areas and data points that will be required to be compliant with the National Information Exchange Model (NIEM). Along with this assessment Deloitte will verify that all the classified and critical data adheres to NIEM Standards and policies while at rest and in transit, as identified during the finalization of project requirements during the initial weeks of the project.
NFR-DA-070	Data Architecture	Data Management	Metadata Management	The Solution shall provide comprehensive metadata management from source to target in a single metadata repository. The metadata repository shall include but not be limited to the following information: mappings of business concepts to underlying data structures, business glossary, data lineage, reference data, and objects (e.g. view, table, join) and reports from source to target.		Supported	N/A	Our proposed solution for the TEDS provides a single repository of metadata in a single metadata repository including mappings, business glossary and data elements that are used for reporting and ETL using Informatica PowerCenter repository.
NFR-DA-071	Data Architecture	DBMS		The Solution shall allow the physical database to be described in a data dictionary with the usage, associated business rule and semantic information for the tables and columns		Supported	N/A	Our proposed solution's data dictionary for the TEDS provides semantic information for the tables and columns along with the business usage. This is produced and maintained in an excel format since it is different than the metadata repository used for ETL and reporting where the metadata tier has a different level of semantic context than transactional data dictionary use.
NFR-DA-072	Data Architecture	DBMS		The Solution shall provide performance, tuning and reporting capabilities in order to monitor application interfaces using SQL.		Supported	N/A	Our proposed solution's uses Oracle Database for OLTP Query Performance Tuning which is executed in conjunction with SQL procedure reviews so that interactions between the system and the database are efficient and align to industry standards. We also follow similar procedures to assess our batch queries, and help reduce operational costs. Indexing technology might also be incorporated to tune performance of SQL statements as needed. The proposed solution's oracle database has advanced querying features.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-INFA-001		Infrastructure Architecture	Data Centers	-	The Solution shall be hosted at HCFA data centers managed by STS. The equipment cost, including the disaster recovery site, shall be included in the SI's proposal.	Partially Supported	C.3.3	Our proposed solution for the TEDS will be hosted on a virtual infrastructure platform in the HCFA data centers. Deloitte will provide equipment cost including licensing needed for the DR site as part of the contract.



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes	
NFR-INFA-002	Infrastructure Architecture	Hosting Environment	-	<p>The contractor shall submit to HCFA as part of their proposal, specifications for all necessary hardware, software and tools for the project. In addition to systems monitoring and management, development support tooling, and project management tooling environments the contractor shall propose application environments for a minimum of the environments listed below. For the Development and Testing environments the vendor should include environments to support two concurrent releases in development plus a regular maintenance release for a total of three sets of Development and Testing environments. The contractor may propose to share environments for multiple purposes and to share components such as Address Verification across multiple environments. Each environment will include three web portals: Worker; Partner; and Member. The contractor may also propose additional application environments based on their development methodology and the understanding of the project roadmap. The minimum environment set (a total of 41 environments) the contractor shall submit specifications for are as follows:</p> <ul style="list-style-type: none"> i. Production (1) ii. Staging / Penetration Testing (1) iii. Technical Sandbox (1) iv. Development (4 of each of the following) <ul style="list-style-type: none"> - Development - Interface Development - Unit / Automated test - Component Integration Test - Data Conversion Development v. Test (4 of each of the following) <ul style="list-style-type: none"> - System Integration Test - Functional Test - Automated Regression Test / QA - Interface Test - Performance / Stress Test - Data Conversion Test - User Acceptance Test vi. Training (1) vii. Disaster Recovery (1) 		Supported	C.3.3	Our proposed solution for the TEDS infrastructure includes hardware, software, and tools that are required for the project. Our proposed hardware, software and tools for the TEDS will support the system monitoring, management, development, and project management across the multiple environments (Production, Staging, Technical Sandbox, Development, Unit Test, System Integration Test (SIT), User Acceptance Test (UAT), Performance Test, Regression Test, Conversion, Training, and Disaster Recovery) and multiple parallel releases as requested by the State.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-INFA-003	Infrastructure Architecture	Hosting Environment	-	Environments that contain production data shall be hosted at the State data center managed by the State Strategic Technology Solutions group. The contractor may propose to host other environments, subject to the approval of HCFA.		Supported	C.3.3	Our proposed solution for the TEDS will be hosted in the HCFA data centers. Our Deloitte ClearLight reporting and business intelligence component is hosted in the cloud which is approved for storing PHI/PII data. This hosting approach for Deloitte ClearLight is cost-effective and provide additional features like data visualization etc. for the State, but can also be configured on-premise within the State data center if the State choses to do so.
NFR-INFA-004	Infrastructure Architecture	Hosting Environment	-	The Solution shall provide tools to automate the migration of code, configuration, security roles, and data between environments including but not limited to: i. Conversion Testing Environment ii. Performance Testing Environment iii. UAT Environment		Supported	C.3.3	Our proposed solution for the TEDS leverages open source ALM stack (JIRA, JAMA, Tasktop Sync, Bitbucket) along with Atlassian Fisheye and Crucible provides abilities for code review, migration, data migration etc., across and into the required environments.
NFR-INFA-005	Infrastructure Architecture	Hosting Environment	-	The Solution shall include an infrastructure management module to allow system administrators to perform tasks such as but not limited to: i. Creating application server domains ii. Deploying applications or components iii. Migrating domains from development environments to production environments iv. Monitoring and configuring the performance of the application server domain v. Diagnosing and troubleshooting problems		Supported	C.3.3	Our proposed solution for the TEDS will be hosted on a virtual, converged infrastructure platform in the HCFA data centers. Using the VCE VxBlock VCenter and VSphere management consoles, virtual servers can be created, deployed, migrated across domains, monitored, and configured. Additionally, these consoles provide a location to begin the diagnostics and trouble shooting of issues as they arise.
NFR-INFA-006	Infrastructure Architecture	Hosting Environment	-	The contractor is responsible for implementing, managing, and the operations and maintenance of the software solution and tools purchased under the contract in the data center(s) as defined by HCFA.		Supported	C.3.3	As part of our proposed solution for the TEDS, Deloitte's technical and architecture will implement and manage the initial installation and set-up of the TEDS solution software and tools. Additionally, the Deloitte team will be responsible for the operations and maintenance of the TEDS solution software and tools. The Deloitte team will request the proper server configurations and operating system set-up, from the State, to serve as a base for these installations and operations.
NFR-INFA-007	Infrastructure Architecture	Hosting Environment	-	The contractor is responsible for maintaining all DDI environments, software, and tools purchased under the contract for all environments.		Supported	C.3.3,C3.4	As part of our proposed solution for the TEDS Deloitte will maintains all DDI environments. Additionally, Deloitte will maintain software, and tools purchased under the contract for all environments.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-INFA-008	Infrastructure Architect	Hosting Environment	-	The Solution's application server design shall provide scalability and reliability for applications by distributing the work load among multiple instances of the server for each of the critical components in the solution design.		Supported	C.3.3,C3.4	Our proposed solution for the TEDS is based on an n-tier JEE architecture that partitions application components into independent tiers for separation of concerns. Our proposed architecture supports both horizontal and vertical scaling and clustering. Administrators can add more resources without bringing the system down or modifying application code to support load. Database connections can be pooled using WebSphere Connection pooling, which allows efficient reuse of database connection objects.



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-INFA-009	Infrastructure Architecture	Hosting Environment	<p>The contractor shall develop a technical infrastructure document which describes all of the hardware, system software and tools necessary for each of the environments proposed, which shall include but not limited to:</p> <ul style="list-style-type: none"> i. A comprehensive system assets inventory (hardware, software, services, processes, configuration, etc.) preferably maintained and managed through a centralized Configuration Management Database (CMDB). ii. A detailed product currency and license inventory preferably maintained and managed through a centralized Configuration Management Database (CMDB). <ul style="list-style-type: none"> a. List of all software licenses, current installations version, latest version (for each particular product), and next target installation version (e.g.. we recently upgraded Oracle to 11.2.0.4 version although the latest version is 12.c) b. Software end-of-life c. Software end-of-support iii. Network connectivity diagrams <ul style="list-style-type: none"> a. Entire network diagram representing physical and logical links between nodes (e.g.. servers, load balancers, firewalls, etc.) b. Secure boundary representation diagrams iv. Network configuration inventory, preferably maintained and managed through a centralized Configuration Management Database (CMDB). <ul style="list-style-type: none"> a. IP management (subnets, VLANs, IP assignment inventory, etc.) b. Network ports in use c. Network protocols in use d. Secure tunnels e. Certificates v. Data flow diagrams <ul style="list-style-type: none"> a. Node to node traffic (from data source to data destination) including all data repositories and pass-through systems involved b. Between various logical elements of a particular unique solution or application (e.g.. link between front-end and back-end elements) 	A CMDB does not currently exist.	Partially Supported	C.3.3	Deloitte will submit documentation detailing hardware, software, and configuration specifications outlined in the requirement for the environments constructed as per deliverable 47 (Infrastructure, System Source Code and Documentation). Since State has significant infrastructure compute, storage and network provisioning responsibilities we would work with the State to work collaboratively to gather and document the information required for the deliverable and the items listed in the requirement.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-INFA-010	Infrastructure Architecture	Hosting Environment	-	The contractor shall utilize STS procedures and services to establish offsite Disaster Recovery capabilities.		Supported	C.3.3	It is our understanding that the State operates the Production and Disaster Recovery sites and we will utilize the existing procedures for assisting with establishment of Disaster Recovery capabilities
NFR-INFA-011	Infrastructure Architecture	Hosting Environment	-	The Solution shall provide for a monitoring and diagnostic service that creates, collects, analyzes, archives, and accesses diagnostic data generated by a running server and its deployed applications.		Supported	C.3.3	Our proposed solution for the TEDS provides monitoring and diagnostic services for collecting, analyzing, archiving and accessing diagnostic data through VCE's VCenter console.
NFR-INFA-012	Infrastructure Architecture	Hosting Environment	-	The Solution must allow for user analytics to be captured and reported.		Supported	C.3.3	Our proposed solution for the TEDS is built upon standard commercial off-the-shelf (COTS) software, and standardized frameworks. These allow for user analytics to be captured and reported for server usage from an infrastructure user standpoint. The data is available at the VMWare console as well as within Windows Event viewers that can be mined by monitoring utilities in our proposed solution like Tripwire for tracking secure access and proper use of the server in terms of SCM controls.
NFR-INFA-013	Infrastructure Architecture	Hosting Environment	-	The contractor shall provide detailed processes to refresh each environment to support the recreation of the environments and to support diagnostics and problem resolution as necessary.		Partially Supported	C.3.3	Deloitte's approach to refreshing the infrastructure is based on a phased refresh of each environment after year 4 based on the state's business needs at that time. We will identify specific refresh requirements, along with supporting diagnostics and problem resolution as necessary. Migration activities requiring significant change to network topologies would required TARB and CCB approvals.
NFR-INFA-014	Infrastructure Architecture	Disaster Recovery	-	The contractor shall provide HCFA with the following documentation: i. Integrated business continuity plan ii. Disaster recovery plan iii. Contingency plan in the event of a disaster		Supported	C.3.3	Deloitte provides a Contingency and Disaster Recovery Plan (CDRP) – as per "Deliverable 10 – Business Continuity and Disaster Recovery Plan", that includes the disaster recovery plan, business continuity plan and contingency plan focused on making available, critical processes and resources required for the TEDS' operations.



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-INFA-015	Infrastructure Architecture	Disaster Recovery	-	The contractor shall provide specifics on recovery of business processes and system recovery procedures whose topics include but are not limited to: steps required to recover the application and its; the order of recovery steps; and verification processes. The contractor shall participate in post Disaster Recovery testing activities and provide reports certifying the achievement of RTO and RPO objectives as well as readiness of the DR system to support business operations.		Supported	C.3.3 Deloitte provides a Contingency and Disaster Recovery Plan (CDRP) – as per “Deliverable 10 – Business Continuity and Disaster Recovery Plan.” This deliverable includes specifics on recovery of business processes and system recovery procedures. This includes the steps required to recover the application, the order of these steps, and the verification of the recovery processes. Additionally, Deloitte will participate in post-Disaster Recovery testing activities, where the Disaster Recovery test results are reviewed; observations and recommendations of our proposed solution for the TEDS disaster readiness are documented; and the achievement of RTO and RPO are certified. Deloitte works with the State to perform initial testing of the Disaster Recovery Plan after statewide implementation. To test our Disaster Recovery Plan’s effectiveness, the Deloitte team works with the State to perform a disaster simulation exercise and confirm that the recovery processes meet the State’s expectations during operational readiness testing. Inclusive in this validation process, we verify the database backup and recovery strategy. This includes confirming the ability to switch from the primary to the backup location and to successfully bring up the TEDS solution.
NFR-INFA-016	Infrastructure Architecture	Disaster Recovery	-	The Solution shall leverage virtualization to expedite disaster recovery by enabling system owners to quickly reconfigure system platforms without having to acquire additional hardware.		Supported	C.3.3 Our proposed solution for the TEDS solution is built upon two VxBLOCKS leveraging VMware virtualization platform and Oracle’s Exadata. One of the VxBLOCKS will host the Production environment, and the other will host the Non-Production environments. Each of the two VxBLOCKS will be hosted in a different one of the State’s data centers, allowing for the Non-Production VxBlock to server as the disaster recovery solution. For the TEDS data, the non-production Exadata server will host the disaster recovery database, which will be replicated from the production database in near real-time using Oracle’s GoldenGate technology. In the event of a disaster, this configuration allows the State to quickly switch to the disaster recover environment, without having to acquire additional hardware.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-INFA-017	Infrastructure Architecture	Disaster Recovery	-	The contractor shall develop a High Availability & Disaster Recovery Plan for the entire solution driven by HCFA's defined Service Level Agreement (SLA), Recovery Time Objective (RTO), and Recovery Point Objective (RPO).		Supported	C.3.3	Our proposed solution for the TEDS is designed for High Availability. To meet HCFA's defined SLAs, RTO, and RPO, we will develop a High Availability and Disaster Recovery plan, which outlines our approach along with the parties responsibilities to meeting these for the TEDS components managed by Deloitte. Deloitte has proposed in the BOM an architecture for TEDS that utilizes VMWare Site Recovery Manager, EMC RecoverPoint and Oracle Active DataGuard to support state RPO and RTO. While the architecture is truly high available with replication for meeting the RPOs and RTOs, it relies on State's existing data center network equipment's automated failover across data centers and the availability of a high bandwidth low latency network pipe for DR between the primary and DR sites. The RTO also relies on availability of state resources, various site level coordination and external system dependency for key data exchanges and interfaces
NFR-INFA-018	Infrastructure Architecture	Disaster Recovery	-	The Solution shall use offsite storage to enable a full recovery of the application and its data in the event of a disaster that destroys the primary data center. Data backup files and transaction logs shall be stored offsite in the event of a physical disaster. The frequency of the transmission of backup files and transaction logs shall be sufficient to meet the system RPO.		Supported	C.3.3	Our proposed solution for the TEDS will host the production and non-production Exadata servers in different data centers. The non-production Exadata server will host the disaster recovery database, which will be replicated from the production database in near real-time using Oracle's GoldenGate technology.
NFR-INFA-019	Infrastructure Architecture	Disaster Recovery	-	The Solution shall have the ability to support either a production and hot (real-time replication) disaster recovery design or a multi host site production design.		Supported	C.3.3	The proposed solution for the TEDS is designed around a production and hot (real-time replication) disaster recovery design. However our proposed solution for the TEDS is capable of supporting or a multi host site production design, assuming the latency between sites is low enough to support it.
NFR-INFA-020	Infrastructure Architecture	Disaster Recovery	-	The contractor shall conduct a semi-annual review (or on schedule determined by HCFA) and update of the Disaster Recovery Plan throughout the life of the contract.		Supported	C.3.3	Deloitte will conduct a semi-annual review and update of the Disaster Recovery Plan throughout the life of the contract. Should a different schedule be required, we will work with HCFA to determine it.
NFR-INFA-021	Infrastructure Architecture	Disaster Recovery	-	The contractor shall participate in regularly scheduled (as scheduled by HCFA) disaster recovery exercise and meeting throughout the life of the contract.		Supported	C.3.3	Deloitte will participate in regularly scheduled HCFA disaster recovery exercises.



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
			The Solution shall align with the "Zoned Architecture" defined in CMS Exchange Reference Architecture: Foundation Guidance.		Supported	C.3.3	<p>Our proposed solution for the TEDS implements a zoned architecture, with application functionality is often organized in a multi-tier network configuration:</p> <ol style="list-style-type: none"> 1. Internet user Zone - Provides the web interface to the system. User traffic from various devices (workstations, mobile devices, etc.) enters the system through this tier 2. Intranet user Zone - Provides the web interface to the system. User traffic from various devices (workstations, mobile devices, etc.) enters the system through this tier 3. De-Militarized Zone - Provides the separation for secure in-bound traffic to come in to the datacenter. Typically reverse proxy and internet facing servers such as specific web servers or IBM DataPower appliances would reside here. 4. Trusted Application Zone - Hosts the applications implementing the business logic for the system. This tier implements the business components, business services, business rules, and application integration for the system 4. Protected Data Zone - Hosts the information systems including the database and legacy application systems accessed by the applications <p>In accordance with CMS Exchange Reference Architecture: Foundation Guidance, these zones are protected by firewalls and intrusion detection devices, as appropriate.</p>
			The contractor shall coordinate and is responsible for working with the State and Other State Contractors to develop a data migration and conversion plan describing the approach, strategy, constraints, assumptions and specification for converting and migrating from current legacy sources.		Supported	C.11.3.1	<p>During the Strategy and Planning phase, through coordination with the State and Other State Contractors, Deloitte develops the Data Conversion and Synchronization Plan which describes our approach, strategy, constraints, assumptions, and specifications for converting and migrating from the current legacy sources.</p>



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
			<p>The contractor shall provide a data conversion strategy and data conversion plan that will include but is not limited to the following:</p> <ul style="list-style-type: none"> i. Identify source and target systems/environments ii. Identify locations involved in the conversion effort <ul style="list-style-type: none"> Provide for a non-disruptive conversion (no or minimal down-time) iii. Describe any automated method of conversion that require limited intervening by the State iv. Describe and addresses security measures that will enforce referential integrity of all data v. Implement a mechanism for identifying and reporting conversion errors vi. Implement a mechanism for error resolution vii. Implement a method to reconcile data and differentiate between converted data versus new system data. viii. Provide a capability of automatically reverse or undo a conversion ix. Identify conversion verification procedures and activities required for system testing. Identify the testing of tools and scripts, and the validation and verification of resulting test data, in preparation for data loading. x. Provide a mapping of the source to destination, considering intermediate processing requirements. xi. Data Cleansing process xii. Frequency of data conversion in all environments such CIT/SIT, UAT and Production xiii. Sequencing of data loads xiv. Data Conversion Schedule xv. Role and Responsibilities xvi. Identify if parallel runs of the old and new systems will be necessary during the conversion process, or if there will be a one-time cut-over to the new system. xvii. Identify criteria for a Go/No-Go decision. xviii. Assumptions xix. Risks <ul style="list-style-type: none"> List of tools needed to execute the conversion Strategy for data quality assurance and control 		Supported	C.11.3.1	During the Strategy and Planning phase, through coordination with the State and Other State Contractors, Deloitte will develop a data conversion strategy and Data Conversion and Synchronization Plan that meets the State's requested requirements



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
			Strategy for populating data not contained in legacy system(s) / sources Approach for converting and migrating scanned documents/images from legacy systems				



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-DC-003	Data Conversion	-	-	The contractor shall assist at the direction of the State in the development of manual conversion procedures for loading data that can not load to the target new system environment using an automated conversion process.		Supported	C.11.2	During the Design phase of the project, the Deloitte team evaluates the legacy data sources and potential data universe to determine what data can be converted via an automated manner and what data would require manual intervention. Clear explanations will be documented on why the fields cannot be converted automatically in the conversion plan and/or conversion mapping documents. Also a method to manually enter legacy cases in the TEDS will be designed.
NFR-DC-004	Data Conversion	-	-	The contractor shall provide a detailed data element mapping crosswalk between the data source and the data target.		Supported	C.11.3.2	Deloitte's custom data mapping tool will be used to provide the crosswalk between source and target data elements.
NFR-DC-005	Data Conversion	-	-	The contractor shall produce a before and after conversion report to the State which will include but is not limited to the following: i. Conversion count ii. Conversion errors iii. Error rate v. Data type conversion source type to native type failures vi. Validation and completeness for conversion		Supported	C.11.1.5	Deloitte will provide before and after conversion reports to the State which include: i. Conversion count ii. Conversion errors iii. Error rate v. Data type conversion source type to native type failures vi. Validation and completeness for conversion
NFR-DC-006	Data Conversion	-	-	The contractor shall complete a number of error free data conversions, as determined by the State, in the production environment prior to go live		Supported	C.11.3.6	Deloitte will work with the State to execute multiple mock runs prior to each production conversion run. Sufficient time will be provided for manual and automated cleanup of data in the legacy systems after each mock run. This process will focus on continuous improvement to achieve the highest conversion rate.
NFR-DC-007	Data Conversion	-	-	The contractor shall reconcile any errors produced from any data conversion run		Supported	C.11.1.5	Deloitte will provide error reports and reconciliation reports after each conversion run to reconcile any errors produced from that run.
NFR-DC-008	Data Conversion	-	-	The contractor shall ensure that the results of the data conversion process is that any given member Medicaid healthcare coverage will remain in place before and after the production data conversion		Supported	C.11.1.4	Deloitte will use the Benefit Matching process as a part of conversion to confirm that any eligible member maintains coverage after conversion.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-DC-009	Data Conversion	-	-	The contractor shall ensure that converted data following the protect and privacy protocols established by the SSP and security control outlined by the State and security compliance regulations. Security measures should be enforced regarding data sensitivity issues.		Supported	C.11.3.4	Deloitte has methodologies in place to minimize and log contact with PII or PHI data based on minimal essential access roles definition using security best practices. Environments with PII or PHI are safeguarded through industry-standard safeguard mechanisms including MARS-E requirements for server level hardening, database level encryption, data masking and firewall protection. PII and PHI data usage will be agreed upon between the State and Deloitte and will follow the protection and privacy protocols established by the SSP and security control outlined by the State and security compliance regulations.
NFR-DC-010	Data Conversion	-	-	The contractor shall identify the data cleansing, validating, and initiating requirements for the data conversion activities.		Supported	C.11.3.5	Deloitte will identify the data cleansing, validating, and initiating requirements for the data conversion activities. After each conversion round, reports will be used to highlight data discrepancies that need to be addressed prior to the next conversion run. Some examples of data quality issues include duplicate entries, inconsistent addresses, null values, data entry errors and incorrect data types (alpha characters where numeric is expected). The data discrepancies should be addressed as part of the automated cleanup in the conversion process or via a manual cleanup effort by authorized users directly within the legacy system or by legacy technical staff using automated data cleanup scripts executed directly in the source systems. Priority of these items will be determined based on the severity of the impact, the number of impacted records, and complexity. The priority will determine the order in which the issues are resolved. Where possible, data is automatically cleansed in the conversion process based on the rules defined in the Design phase.
NFR-DC-011	Data Conversion	-	-	The contractor shall provide a data conversion workflow allowing for HCFA Staff to continue normal business operations.		Supported	C.11.3.1	The Data Conversion and Synchronization Plan will provide HCFA staff a data conversion workflow, which will include information on how the workers should use the conversion reports and benefit match information to process the converted cases in the TEDS. The primary objective of providing this information is to make sure that business continuity is not lost and there is no impact to members' healthcare coverage as a result of conversion.
NFR-DC-012	Data Conversion	-	-	The contractor shall provide a project plan that describes the timeline of activities of the contractor and the State to complete conversion at implementation.		Supported	C.11.3.1	The Data Conversion and Synchronization Plan will provide a schedule for all the conversion activities including but not limited to mock runs, data cleansing and production runs.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-DC-013	Data Conversion	-	-	The contractor shall provide to the State a list of data conversion tools and scripts to perform data conversion, intermediate data processing and loading cleansed data into the destination (target) data repository. This would include both automated conversion program and manual procedures (data entry procedures).		Supported	C.11.3.1	Deloitte uses a data mapping tool to document all conversion rules and the ETL tool, Informatica PowerCenter, allows conversion scripts to be exported and shared with the State. In addition, the Data Conversion and Synchronization Plan will provide information on data cleansing and manual conversion procedure.
NFR-DC-014	Data Conversion	-	-	The contractor shall provide the capability to automatically reverse or undo a conversion by conversion group e.g., entity Case and associated database entities as defined by the State.		Supported	C.11.3.1	The Data Conversion and Synchronization Plan will include Contingency/Rollback plans for all data conversion runs including details on how to rollback a conversion run either completely or to one of the interim backup points.
NFR-DC-015	Data Conversion	-	-	The contractor shall provide a method to reconcile converted data and differentiate between converted data versus the target system data		Supported	C.11.1.3	After completion of the data transformation and load, reconciliation process will be used to compare the counts of source and target rows to validate that no records were skipped during the conversion process. Additionally, converted records will be specifically marked as part of the audit trail functionality to differentiate source system and existing target system data.
NFR-DC-016	Data Conversion	-	-	The contractor shall provide a schedule of conversion activities to be accomplished in accordance with the Data Conversion Plan and approved the data including but not limited to the following: i. Time allotted/allowed to complete the conversion process in each environment. ii. Time allowed to Normalized the data from the source (legacy) to the target.		Supported	C.11.3.1	The Data Conversion and Synchronization Plan will provide a schedule for all the conversion activities during the production runs. This will be further refined during the mock runs when an accurate estimate of time required to perform each step of the conversion is available.
NFR-DC-017	Data Conversion	-	-	The Contractor shall be responsible for coordinating, addressing and reconciling with the State any data quality assurance and control issues prior to a given data conversion cycle. In addition, the Contractor shall be responsible for identifying types of data quality problems that may occur, including but not limited to the following considerations: i. Invalid Content ii. Data Type re-definitions (e.g., alphas in dates and numbers data field) iii. Incomplete Content (e.g., un-initialized data)		Supported	C.11.1.2	Deloitte will work with the State to identify types of data quality problems that may occur. Based on this, data validation rules will be applied during the conversion process and tracked with Conversion Validation reports. These reports will be shared with the State and used to drive data cleanup efforts in the source system before the go-live.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-DC-018	Data Conversion	-	-	The contractor shall be responsible for running a sufficient number of mock data conversions in production achieving a 100% pass rate for each data conversion run. Each mock conversion should simulate the real go-live process with actual data volumes.		Supported	C.11.3.6	Deloitte performs a minimum of 3 mock runs prior to Go-Live that achieve a 100 percent pass rate. These mock runs simulate the go-live and use production data volumes. The pass rate is determined by the accumulative average of all records correctly converted in every field, in every extract file, coming from the data sources based on the mapping requirements documented in the Data Conversion and Synchronization Plan and Deloitte's data mapping tool.
NFR-DC-019	Data Conversion	-	-	The contractor shall provide the capability to conversion data from several source(s) e.g., scanned documentation such as Notices, Pay Stubs, Case Notes and Verification paper documents for the existing legacy system (FileNET) to the new proposed system.		Supported	C.11.3.3	Custom programs will be developed to migrate scanned documentation such as Notices, Pay Stubs, Case Notes and Verification paper documents from the existing legacy system to the new proposed system. In order to perform the document migration, the legacy staff will be asked to provide a file containing metadata required to index the document to a case or client within the TEDS.
NFR-DC-020	Data Conversion	-	-	The contractor shall not use synthetic data or use estimated data in production for missing data e.g., baby SSN, birth date without written approval by the State.		Supported	C.11.1.3	In situations where certain data elements are required in the TEDS system but not available for a case in legacy, Deloitte will work with the State to determine the best approach to convert those data elements. Deloitte will not use defaults unless the State provides approval. After design discussions, these rules will be clearly documented in the data mapping tool and will be provided to state for review and written approval.
NFR-DC-021	Data Conversion	-	-	The contractor shall provide a phase approach to a data conversion solution.		Supported	C.11	The data conversion for the TEDS will be performed in three releases - MAGI Medicaid case conversion, Non-MAGI Medicaid case conversion and Appeals conversion. Further, each release will include conversion in three phases - big-bang production conversion, catch-up conversion(s) and manual conversions.
NFR-DC-022	Data Conversion	-	-	The contractor shall be responsible for identifying and describing the boundaries and scope of the data conversion. Including but not limited to specific system functions, and ad hoc user access database(s) and providing a high-level mapping of the data and data types to be converted or migrated to the new system		Supported	C.11.3.1	Deloitte's conversion specialists will collaborate with legacy SMEs to review legacy data that is available for extraction and assist in establishing the desired format of extract files and selection criteria. The mapping of legacy data elements to the TEDS data elements will be performed using a custom data mapping tool.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-AS-001	Accessibility	-	-	The Solution shall satisfy the Priority 1 Checkpoints from the current Web Content Accessibility Guideline developed by the World Wide Web Consortium (W3C), as detailed at: http://www.w3c.org/TR/WCAG10/full-checklist.html		Supported	N/A	Our proposed solution for the TEDS is compliant with the W3C Web Content Accessibility Guidelines Priority 1 Checkpoints. This compliance is validated and tested using standard tools like JAWS (Job Access with Speech) reader for priority 1 checkpoints in WCAG. These are met based on the following: 1. Visual magnification using native browser and Adobe Reader capabilities 2. Screen Reader compatibility using native browser capabilities 3. High contrast mode using native Windows Desktop Operating System capabilities
NFR-AS-002	Accessibility	-	-	The Solution shall be compliant with the Americans with Disabilities Act (ADA)		Supported	N/A	Our proposed solution for the TEDS will achieve compliance with the Americans with Disabilities Act (ADA). These are met based on the following: 1. Visual magnification using native browser and Adobe Reader capabilities 2. Screen Reader compatibility using native browser capabilities 3. High contrast mode using native Windows Desktop Operating System capabilities
NFR-AS-003	Accessibility	-	-	The Solution shall be compliant with the Section 508 amendment to the 1973 Rehabilitation Act where as all web content be accessible to people with disabilities.		Supported	N/A	Our proposed solution for the TEDS will be assessed for compliance through testing for Section 508 compliance throughout the system development life cycle. We use Compliance Sheriff to test accessibility and Section 508 compliance to produce the report and will indicate false positives in the report as part of sharing it with the state.
NFR-AS-004	Accessibility	-	-	The Solution shall have an accessibility testing solution that incorporates the use of assistive technologies. The contractor shall provide an ADA compliance report.		Supported	N/A	Our proposed solution for the TEDS will be assessed for compliance through testing for assistive technologies compliance throughout the system development life cycle. We use Compliance Sheriff to test accessibility and Section 508 compliance to produce the report and will indicate false positives in the report as part of sharing it with the state.
NFR-AS-005	Accessibility	User Channels	Web Portal	The Solution's public web portal shall provide web-based access that requires only web browsers.		Supported	N/A	Our proposed Member/Partner Portal solution for the TEDS can be accessed through a Web browser without additional software. Our proposed solution for the TEDS supports the mainstream browsers - Microsoft Internet Explorer 9, Microsoft Internet Explorer 10, Microsoft Internet Explorer 11, Microsoft Edge v13, Google Chrome v49, and Firefox v45.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-MA-001	Manage ability	-	-	The contractor shall propose one or more Commercial Off the Shelf (COTS) monitoring tools to proactively monitor the performance, track progress and facilitate decision making of key application components and services of the proposed solution. The State of Tennessee and HCFA have not identified a preference for a performance management toolset.		Supported	N/A	Our proposed solution for the TEDS provides three categories of monitoring, using COTS products; Security, Application, and Infrastructure. For each of the categories of monitoring, we use the following COTS products: Security (IBM Security QRadar, Nessus Vulnerability Scanner, Tripwire Security Configuration Management Suite) Application (HP SiteScope, Oracle Cloud Control, Splunk Enterprise, Syslog Server) Infrastructure (VMWare VCenter, Cisco UCS Manager, EMC Unisphere: Unified Storage Monitoring, Cisco Prime Network, Oracle Enterprise Manager (OEM), F5 Monitoring Pack)
NFR-MA-002	Manage ability	-	-	The contractor shall provide, configure and operate COTS tool(s) (The COTS tool(s) should be generally available and have adopters to various vender products) to detect errors related to components including but not limited to network connectivity interruptions, a database server going off line, or web service connectivity etc.		Supported	N/A	Our proposed solution for the TEDS provides three categories of monitoring, using COTS products; Security, Application, and Infrastructure. For each of the categories of monitoring, we use the following COTS products: Security (IBM Security QRadar, Nessus Vulnerability Scanner, Tripwire Security Configuration Management Suite) Application (HP SiteScope, Oracle Cloud Control, Splunk Enterprise, Syslog Server) Infrastructure (VMWare VCenter, Cisco UCS Manager, EMC Unisphere: Unified Storage Monitoring, Cisco Prime Network, Oracle Enterprise Manager (OEM), F5 Monitoring Pack)
NFR-MA-003	Manage ability	-	-	The Solution shall have safeguards designed to ensure that configuration variables affecting applications and the back end resources remain at some predetermined configuration settings. The configuration shall not be mixed with application data.		Supported	N/A	Our proposed solution for the TEDS will use Tripwire Security Configuration Management Suite that does configuration compliance checks and can be scheduled to run at regular intervals to detect and log any malicious configuration changes and therefore, can be used to check unauthorized configuration and properties file changes
NFR-MA-004	Manage ability	-	-	The Solution shall provide, configure and operate third party COTS tool(s) to detect application performance issues, such as degraded servlet, database or other back end resource response times and alert system administrators.		Supported	N/A	Our proposed solution for the TEDS will use HP SiteScope and Oracle Cloud Control to monitor the application's service health and to monitor the database. These tools provide provides timely alerts about performance and availability issues. To prevent system performance degradation, our approach includes using the proposed monitoring tools to proactively identify potential issues, and address them before they impact the overall system performance.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-MA-005	Manage ability	-	-	The Solution shall provide, configure and operate COTS tool(s) to monitor key performance indicators (KPIs) metrics such as but not limited to response time, resource availability, CPU utilization, and memory utilization reaches thresholds etc.		Supported	N/A	Our proposed solution for the TEDS will use HP SiteScope that provides real-time visibility of application's service health and provides timely alerts about performance like CPU Utilization, response times, memory utilizations and availability issues. HP SiteScope provides templates for the most important key performance indicators and comes with a best practices guide that outlines steps to troubleshoot common issues.
NFR-MA-006	Manage ability	-	-	The Solution shall send alerts based on the monitored attributes. These can be escalated through E-Mail / SMS etc.		Supported	N/A	Our proposed monitoring solutions for the TEDS can be configured to escalation alerts via emails and SMS messages. These alerts can be escalated to an email or phone number (via SMS), when certain events occur or thresholds are met.
NFR-MA-007	Manage ability	-	-	The Solution shall provide diagnostic information on performance and availability issues identified through performance monitoring.		Supported	N/A	The proposed monitoring tools for the TEDS will capture and store a variety of metrics and statistics. These metrics combined with our teams extensive experience in supporting large systems, is then used by the team to diagnose and further research performance and availability issues that may be identified through performance monitoring.
NFR-MA-008	Manage ability	-	-	The Solution shall provide a performance dashboard(s) of a wide range of application services and network services providing the ability to drill down to a level where the observations provide useful information and both real-time and snapshot views.		Supported	N/A	Our proposed application for the TEDS monitoring tool Splunk provides a performance dashboard based on the current data as well as a snap shot view of past data. Additionally, Splunk displays trends which can be monitored to foresee any potential risks. This performance data can be used to detect performance issues in application as well as backend systems. Splunk can be easily integrated with other solution components to gather logs and to be displayed on the dashboard.
NFR-MA-009	Manage ability	-	-	The Solution's performance dashboard(s) shall allow the HCFA personnel to perform monitoring and administrative activities through graphical user interfaces. The solution shall have the capability to create custom dashboards to empower the users.		Supported	N/A	Our proposed solution for the TEDS will utilize Splunk to create performance dashboards. Splunk's customizable performance management dashboard provide a graphical view of monitoring and administrative activities, and additionally allows users to create custom dashboards to monitor specific information.
NFR-MA-010	Manage ability	-	-	The Solution's management module shall support role based access to allow for different roles for users including operators, administrators, and managers etc. The Solution management module shall have the capability of configuration role-based access control including but limited to access to network traffic monitoring data or making a configuration change by Administrator role		Partially Supported	N/A	Our proposed solution for the TEDS, implements security at a role level in Splunk. The role-based access control configurations allow for the restriction of access to a certain monitoring capabilities (e.g. access to network traffic monitoring data) or administrative functions (e.g. configuration changes) the to a defined set of roles/users.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-MA-011	Manage ability	-	-	The Solution shall allow for report generation and analysis for application troubleshooting and capacity planning.		Supported	N/A	Our proposed solution for the TEDS relies on Splunk for the generation of reports and presentation of data for analysis and application troubleshooting and capacity planning. Additionally, our other proposed monitoring products for the TEDS can be configured to produce reports, if in the future a need arises.
NFR-MA-012	Manage ability	-	-	The Solution shall provide configurable logging levels, filtering and reporting options for errors and exceptions.		Supported	N/A	Our proposed solution for the TEDS has logging levels built into the application framework, includes error logging at presentation, business and persistence layer. For example, as application errors are log, they are assigned a severity, which can then be used to filter/sort/triage the errors.
NFR-MA-013	Manage ability	-	-	The Solution shall provide the ability for a centralized log of prescribed system events and provide correlated logs if the logs are produced by multiple system components in the Solution.		Supported	N/A	Our proposed solution for the TEDS includes error logging at various points within the application (e.g., rules engine logs, application logs, batch logs). These log files are each created and stored as independent files, to facilitate the management and search ability of the files. Splunk then serves as our log aggregator, gathering the various logs, parsing them for common identifiers (e.g. time stamps or case numbers), and allowing them to be searchable and presentable in a single location.
NFR-MA-014	Manage ability	-	-	The Solution shall ensure system error messages appear in a consistent format for both batch and on-line processing. Specifically, error messages have like codes and texts.		Supported	N/A	Our proposed solution for the TEDS stores error messages in a single location for both online and batch processing. This provides a consistent format, text, and code for a single error regardless of where it occurs in the solution.
NFR-MA-015	Manage ability	-	-	The Solution shall provide descriptive error messages.		Supported	N/A	Our proposed solution for the TEDS presents error messages to users in easily understood language, written in language that makes sense to business users. If applicable, the error also includes next steps or instructions to get help with unique error identifiers.
NFR-MA-016	Manage ability	-	-	The Solution shall produce error statistics by module, transaction and source.		Supported	N/A	Our proposed solution for the TEDS also includes a built in component that captures application errors along with the point of failure, error trace and supporting information, and persists them into a database table. Statistics can be gathered using these database tables.
NFR-MA-017	Manage ability	-	-	The Solution shall capture rejected or un-posted transactions for administrative user resolution.		Supported	N/A	Our proposed solution for the TEDS also includes a built in component that captures application errors along with the point of failure, error trace and supporting information, and persists them into a database table. Using these tables, the administrator can identify the cases with problems and take it up for resolution.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-RE-001	Reliability	-	-	The Solution shall provide high availability for the all system components that meets HCFA's specified operations periods on a 24x7 basis.		Supported	N/A	Our proposed solution for the TEDS provides high availability for all production system components. High availability is implemented through horizontal scaling, the virtualization of servers, and proactive monitoring. Even with a 24x7 operational model, scheduled maintenance windows may still be needed to perform certain tasks (major software upgrades, major builds/deployments, etc.), for which a mutually agreed upon window will be determined.
NFR-RE-002	Reliability	-	-	The Solution shall provide real-time or near real-time availability of information across all systems dictated by HCFA		Supported	N/A	Our proposed solution for the TEDS provides users access to near real-time information during times which the system is accessible. Our proposed solution can be available at all times except during standard maintenance windows), however operationally the business may prefer to limit access to some systems at various points in time.
NFR-RE-003	Reliability	-	-	The Solution shall use server clustering to allow transfer of load when a server or application goes down.		Supported	N/A	Our proposed solution for the TEDS uses application clustering to balance the load across servers in conjunction with the F5 LTM load balancer, and transfer the load when a server or application goes down. For applications or products which are hosted in web containers (such as WebSphere), each of the application instances for a particular application or product are clustered together. For the database, we use Oracle's Real Application Cluster (RAC)
NFR-RE-004	Reliability	-	-	The Solution shall be architected with no single point of failure, supporting fault tolerance and failover of web, application, database servers, storage devices, and secondary devices such as load balancers, and supporting a high-availability enterprise.		Supported	N/A	Our proposed solution for the TEDS will mitigate single points of failure by implementing an architecture that has a duplicate/fail-over component for each system. For the hardware, we leverage VCE's converged infrastructure, a VxBlock, which in the case of a hardware failure (CPU, Memory, hard disk) will automatically fail over to another piece of hardware. For servers such as application and DB servers, this will result in distributing the load across multiple servers, and confirming that there is ample capacity to handle the failure of some of the components. For software this duplication results in hosting and running products across multiple servers/instances to allowing for a fail-over from one to the other.
NFR-RE-005	Reliability	-	-	The Solution shall support session replication and transparent failover in a server cluster.		Supported	N/A	Our proposed solution for the TEDS runs on IBM's WebSphere Application Server which supports session replication and transparent failover in a cluster setting.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-RE-006	Reliability	-	-	The Solution's Recovery Time Objective (RTO) shall be within 4 hours. In case of a disaster that affects the system operations, the entire service shall be restored within 4 hours.		Supported	N/A	Our proposed solution for the TEDS does not have any architectural or solution specific dependencies that will prevent us from meeting the four hour RTO as long as the external data center dependencies are resolved by STS, specifically around network and bandwidth for cross datacenter replication.
NFR-RE-007	Reliability	-	-	The Solution's Recovery Point Objective (RPO) shall be no more than 1hr of data loss. In case of a disaster that affects the system operations, 1hr of data inputs to the system (but no more) may be lost and need to be re-entered.		Supported	N/A	Our proposed solution for the TEDS leverages Oracle Active Data Guard, the most comprehensive solution available to eliminate single points of failure for mission critical Oracle Databases. Active Data Guard's deep integration with Oracle Database and complete focus on real-time data protection and availability avoids compromises found in storage remote mirroring or other host based replication solutions, allowing us to achieve the RPO of no more than 1hr of data loss provided the network bandwidth across datacenters support high bandwidth interactions.
NFR-RE-008	Reliability	-	-	The Solution shall use fully redundant network, hardware and storage.		Supported	N/A	Our proposed solution for the TEDS supports redundancy and fault tolerance. The system architecture is designed and deployed on a virtualized environment that has redundancy in place at physical components (network, hardware, storage) which are implemented at part of the TEDS solution.
NFR-RE-009	Reliability	-	-	The Solution shall use virtualization where possible in their design and be prepared to create virtualized secured environments, that are highly available, sustainable, extendible, and portable.		Supported	N/A	Our proposed solution for the TEDS architecture is built on a virtual, converged infrastructure platform, VCE's VxBlock, and Oracle Exadata. Both the VxBlock and Exadata support a high level of virtualization, allowing CPU, RAM, and storage to be allocated and managed through the vCenter console in real time; this solution provides a platform that is highly available, sustainable, expandable, and portable.
NFR-RE-010	Reliability	-	-	The Solution shall minimally display a well formatted informational message, complete with the portal's normal branding, that asks the user to return at a later point in time when the public facing system is unavailable, for planned maintenance or because of a runtime issue.		Supported	N/A	Our proposed solution for the TEDS provides a well-formatted informational message that is displayed to the user whenever the user faces a runtime error or when the system is unavailable for planned maintenance activities.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-RE-011	Reliability	-	-	The Solution component and system shall be considered as unavailable if the online response time is a factor of three (3) greater than specified in the requirements.		Supported	N/A	Our proposed solution for the TEDS components and system will be considered as unavailable if the online response time is a factor of three (3) greater than specified in the requirements and the transactions in question do not invoke any external transactions or consist of complex composite transactions that in turn perform multiple automations behind the scenes.
NFR-RE-012	Reliability	-	-	The Solution shall continue to operate when a user action results in communications with other systems (e.g., the federal hub or the HIX) regardless of the availability of the external system. For example, if the federal hub was unavailable then the citizenship and income verification would be deferred and the user would be notified of their possible options.		Supported	N/A	Our proposed solution for the TEDS allows the ability to continue to operate even when a user action results in communication with other systems, regardless of the availability of the external system. In the event of an external service being unavailable, e.g. if a Federal Data Services Hub is not available, the requests are put into a durable messaging queue which is persisted and sent to the Hub when the service becomes available.
NFR-SC-001	Scalability	-	-	The Solution shall be scalable and adaptable to meet future growth and expansion/contraction needs such that the Solution can be expanded on demand and be able to retain its performance levels when adding additional users, functions, and data.		Supported	N/A	Our proposed solution for the TEDS is based on an n-tier JEE architecture that partitions application components into independent tiers for separation of business concerns. The partitioning enables flexible deployment of the application tiers providing higher scalability and improved quality of service. Additionally, it enables flexible deployment of the application tiers in ways that support evolving needs for additional users, functions, and data, while maintaining performance levels.
NFR-SC-002	Scalability	-	-	The Solution shall have software and hardware that is upgradeable and preserves solution customizations, or provide a State-approved upgrade path.		Supported	N/A	Our proposed solution for software and hardware upgrades includes qualifying the needs, performing impact analysis, develop and test proof of concept, develop a Release Plan, provide development support, and test and apply the upgrade. During the impact analysis phase of the upgrade process, we determine whether an application customized solution needs to be updated or not. For example, an upgrade to F5 switch may not impact the application code, while an upgrade to QAS address validation may impact the application software - depending on whether the upgrade is backward compatible and if the output is changed or not.
NFR-SC-003	Scalability	-	-	The Solution shall perform consistently and efficiently under normal and peak loads as defined by HCFA.		Supported	N/A	Our proposed solution is configured to perform at optimal levels under normal and peak loads. We will work with the State to define load condition response time expectations for processes that involve getting information from multiple external systems.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-SC-004	Scalability	-	-	The components in the Solution should be scalable both horizontally and vertically independently.		Supported	N/A	Our proposed solution's architecture supports both horizontal and vertical cloning and clustering. Administrators can add more resources without bringing the system down or modifying application code to support load.
NFR-SC-005	Scalability	Performance	-	The Solution shall allow the submit and redisplay, or navigation, of a web page to take less than two (2) seconds 95% of the time. For the most common user actions this shall be honored 99% of the time. No action or page shall take more than three (3) seconds.		Supported	N/A	Our proposed solution's navigational transactions are under 2 seconds 95 percent of the time with common user action pages performing under 2 seconds for 99 percent of the time with the following exceptions: 1. Transactions that invoke services from external systems are excluded from the response time SLOs. This includes interfaces to MPI, FileNet, HP Exstream, QAS, state trading partners/agencies and Federal trading partners. 2. Adding new User 3. Any pages that interact with external systems 4. EDBC is excluded since it actually performs multiple transactions per one user action behind the scenes which is driven by number of people, number of months and number of programs. 5. Notices will vary based on number of pages which is dependent on type of notice, number of individuals and network latency. Therefore, the PDF generation request is part of SLO exclusions. 6. Notices will vary based on number of pages which is dependent on type of notice, number of individuals and network latency. This makes it a transaction that is extremely dependent on payload complexity and hence difficult to conform to a standard response time metric as other standard transactional page actions.
NFR-SC-006	Scalability	Performance	-	The Solution shall allow eligibility rules processing (Medicaid, CHIP etc.) to take less than 0.5 seconds for a household of five (5) people and less than 0.1 seconds for a single-person household. This performance shall include any time needed to fetch supporting data from the database and the round trip messaging to the rules engine.		Partially Supported	N/A	Our proposed solution's Eligibility Determination module for the TEDS houses workflows to determine eligibility for the State's Medicaid programs. This in turn invokes the Business Rules Engine. We will work with the State during performance testing to optimize and tune eligibility to mutually set expectations based on complexity of rules and set performance targets for production. A key input into this would be the eligibility runtimes from other states using the same architecture that Deloitte can share based on our implementation experience in those states.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-SC-007	Scalability	Performance	-	The Solution shall be designed to the greatest extent possible so that the performance/latency of the connectivity to external system(s) does not adversely affect the required performance, e.g., asynchronous and background messaging when a user action results in communications with other systems (e.g., the federal hub).		Supported	N/A	Our proposed solution for the TEDS leverages IIB for integration services with other internal and external systems, providing features like fault-tolerant architecture, asynchronous processing, priority queue messaging and high performance regardless of performance/latency of the connectivity to external system(s). It is crucial to note that these architecture patterns are driven more by business need for transactional processing, specifically when it comes to synchronous vs. asynchronous. Business users for these systems due to the transaction's sensitive business nature tend to go more with synchronous patterns since often times their business need is driven by federal trading partners data interaction patterns.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-SC-008		Scalability	Performance	-	The Solution shall allow pre-generated reports to be designed so that they can be rendered online in under 5 seconds, i.e., very large reports shall be broken into pages that allow incremental drill down and navigation and so do not adversely affect the network.	Supported	N/A	<p>Our proposed solution's design for reports is based on Deloitte ClearLight platform. This architecture includes categorizing the reports into those which are rendered at run time vs. more paginated on-demand vs. filter driven. Tableau, our virtualization tool, will be used to render reports. Reporting response times will be determined based on the following:</p> <ol style="list-style-type: none"> 5 seconds or less for 95 percent of the search and lookup queries that meet the following criterion: <ol style="list-style-type: none"> Excludes ad hoc queries and analytics Search and look ups are done based on enough filtered values and parameters that restrict the data set to under a 500 rows with 20 columns which in turn are displayed using a pagination setting that only displays 50 rows at a time. Queried columns cannot include any Long Objects in the database (Character LOBs or Binary LOBs or XML types) Joins used by the underlying query cannot exceed more than 5 tables Query response time will be strictly measured based on the database processing time for the query Static Standard report within 5 seconds or less, 95 percent of the time that meet the following criterion: <ol style="list-style-type: none"> Queries that generate the static report do not read more than 100 rows with 20 columns Queried columns cannot include any Long Objects in the database (Character LOBs or Binary LOBs or XML types) Joins used by the underlying query cannot exceed more than five tables Query response time will be strictly measured based on the database processing time for the query This response time is not applicable to export functions from the tool for printing to PDF, CSV and excel. Dashboard report within 5 seconds or less, 95 percent of the time that meet the following criterion: <ol style="list-style-type: none"> Queries that generate the dashboard report do not read more than 100 rows with 20 columns for the entire page Queried columns cannot include any Long Objects in the database (Character LOBs or Binary LOBs or XML types) Joins used by the underlying query cannot exceed more than 5 tables Query response time will be strictly measured based on the database processing time for the query. This response time is not applicable to export functions from the tool for printing to PDF, CSV and excel.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-SC-009	Scalability	Throughput	-	The Solution shall be able to support 2,000 concurrent internal users at the prescribed performance levels. This is an initial estimate that may be adjusted.		Supported	N/A	Our proposed solution's proposed capacity is sized to support 2000 concurrent users. Our Worker Portal application assumes supporting 37 concurrent users/core for WAS under peak stress and Member/Partner Portal at 100 concurrent users/core. Based on these estimates we have sized production. Should this estimate change, a capacity change may be necessary to support additional concurrent users leading to provisioning of new WAS instances along with analysis of other transactional use of COTS and database as part of the Change Control Board driven impact analysis.
NFR-SU-001	Sustainability	-	-	The contractor shall ensure each of the COTS products in the Solution remain to be supported by COTS vendors at least six(6) years after planned go-live date. The contractor shall ensure each of the COTS products incorporated as part of the overall Solution will remain viable at least six years after the go live date, or provide State-approved upgrade path.		Supported	N/A	Our approach for the TEDS solution is to perform regular updates to the proposed COTS products to a more recent, stable version using a TARB- and CCB-approved System Upgrade and patch process. For major upgrades, impact analysis will be conducted and presented to the CCB for approval. For ongoing patches, a CCB- approved approach for minor patches and security will be used to maintain the environments for COTS products. This approach will enable us to keep the solution supported by COTS vendors for six years after the planned go-live date.
NFR-SU-002	Sustainability	-	-	The contractor shall ensure all the COTS components in the Solution to maintain compatibility at supported release levels.		Supported	N/A	Our approach for the TEDS solution is to perform regular updates to the proposed COTS products to a more recent stable version using a TARB and CCB approved System Upgrade and patch process. For major upgrades, impact analysis will be conducted and presented to the CCB for approval. For ongoing patches, a CCB approved approach for minor patches and security will be utilized to maintain the environments for COTS products. This approach will enable us to get the necessary support from the COTS vendors.
NFR-SU-003	Sustainability	Extensibility	-	The Solution shall be adequately flexible to keep up with ever changing technology and regulatory changes. This shall be accomplished by separating workflow and business rules into their own separate tiers.		Supported	N/A	Our proposed solution for the TEDS uses IBM WODM Rules Engine and our NextGen based Driver flow for Workflow engine, which separates business rules from the application code and workflows, and isolates programming needs for rules change. Our solution is agnostic to the tools that it is hosted upon and segregated into its own tier of uncoupled services.
NFR-SU-004	Sustainability	Modularity	-	The Solution shall be designed for ease of maintenance and readily allow future functional enhancements as indicated by CMS Seven Conditions and Standards. This shall be accomplished through use of modern design principles for Service Oriented Architecture, applying principles of		Supported	N/A	Our proposed solution for the TEDS is aligned with the CMS Seven Conditions and Standards. Our proposed solution is SOA based which allows for modularity, abstraction and loose coupling.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
				modularity, interface abstraction, and loose coupling.				
NFR-SU-005	Sustainability	Development Resources	-	The Solution shall take into account for availability of development resources. The contractor shall provide a skill inventory for development resources in all project phases. The contractor shall ensure and will be responsible for supplying a skill inventory of development resources for all phases of the project.		Supported	N/A	Our proposed solution's resource information and skillset for development resources of the project will be detailed in our staffing plan. We will have the necessary development resources available on the project. We have a large pool of resources within our firm as well as within our network of staff augmentation vendors to meet these requirements.
NFR-SU-006	Sustainability	Maintainability	-	The Solution's screens shall be highly re-configurable, providing ability to reposition and rename field labels / data fields, remove or ?turn-off? unused fields, maintain data, sort lists and allow addition of custom-defined fields with minimum effort.		Supported	N/A	Our proposed solution for the TEDS has configurable field labels and data fields, along with the ability to remove/turn off reference code values and allows maintenance of reference data by authorized system administrators. Our proposed solution has templates that allows for custom-defined fields with minimum effort. UI layout is supported using visual re-alignment in a WYSWYG IDE within Eclipse.
NFR-US-001	Usability	-	-	The Solution shall have "stacked" screens for data collection and maintenance of client/case data. Entering data on one screen should logically enable or disable other screens for other clients in the same household. In addition screens may require data to be re-edited or changed if the screen was left as incomplete or as a result of the change of data on another screen, e.g., changing an accommodation address may require the collection/update of utility expense information.		Supported	N/A	Our proposed solution for the TEDS supports an intuitive driver mechanism to direct user to the next workflow step. Workflows represent logical groupings of related functional screens that are stacked to process cases. Additionally, our solution supports condition-based navigation, e.g., collecting additional pregnancy information such as due date, number of births expected if the individual has attested to being pregnant. The navigation pattern for tab-based browsing and enabling/disabling individual-centric information on a case is part of our UI layout and design within the Worker Portal and the Member/Partner Portal.
NFR-US-002	Usability	-	-	The Solution shall provide visual cues for which screens are enabled or disabled.		Supported	N/A	Our proposed solution for the TEDS Data Collection module provides visual identification for enabled vs disabled screens by greying out the disabled screens.
NFR-US-003	Usability	-	-	The Solution shall display lookup data in drop lists on screens where it is needed. Lookup data is simple data that can have a code and/or a sequence number identifier and a longer textual description.		Supported	N/A	Our proposed solution for the TEDS has a built-in data lookup functionality, also known as Reference Tables, used to display drop down lists. There is a code with a description for every reference table. Additional configurable information such as field-level security, filtering parameters, effective begin and end dates are also available, associated with reference tables where appropriate.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-US-004	Usability	-	-	The Solution shall allow data in drop lists to typically be displayed on a screen sorted alphanumerically (in the chosen language).		Supported	N/A	Our proposed solution's lookup data for the TEDS provides list of values (data) in alphanumeric sort order. Additionally, our solution provides a feature to configure custom sorts for specific business functions.
NFR-US-005	Usability	-	-	The Solution shall allow the alphanumerical sort order to be overridable, e.g., force USA to the top of a list of countries.		Supported	N/A	Our proposed solution for the TEDS provides dropdown lists that can be customized to override the order of data values. For example, on the address screen when capturing the State, the order can be forced to list "TN - Tennessee" at the top.
NFR-US-006	Usability	-	-	The Solution shall allow the lookup data to indicate whether a user is able to select a particular value or whether it is only selectable by a system process.		Supported	N/A	Our proposed solution for the TEDS allows lookup data to be added with the field level security which enables only certain users to select specific drop down values based on their user roles. Additionally, our system is configurable to prevent users from selecting system process values. For example if a verification source for a record is "Conversion" (a system process) our proposed solution provides the ability to have necessary edits for the regular case workers to not select this value.
NFR-US-007	Usability	-	-	The Solution shall allow the lookup data to be logically deletable or end-datable so that a value no longer appears as an option in a drop list except if that value was previously selected on an existing data element.		Supported	N/A	Our proposed solution's reference table framework (used for look up values) for the TEDS has a versioning feature. This allows either addition, change, removal of look up values effective a certain date.
NFR-US-008	Usability	-	-	The Solution shall provide a user interface that shall be user friendly and consistent throughout all areas and functions of the Solution.		Supported	N/A	Our proposed solution for the TEDS provides a simple and consistent user interface throughout the application. Our proposed solution utilizes development templates to maintain consistency in the development of solution components.
NFR-US-009	Usability	-	-	The Solution shall use a Graphical User Interface (GUI) to help the public portal users navigate to the next logical step in the workflows. The Solutions shall all the workers (on the Worker Portal) to freely navigate to other parts of the solution functionality, and then allow the user to return to complete the in-process task.		Supported	N/A	Our proposed solution's navigational flow for public portal users navigates the users to the next logical steps. For example, if the client indicated that he has a job, an income screen is queued to capture the additional information like type of the job, frequency. In our Worker Portal, workers have the flexibility to navigate and jump to any screen depending on the type of action the worker is performing. For example, if the case worker is acting on a change that is reported, they have the ability to perform multiple changes like address and income without having to navigate through a controlled flow. During the registration of a new application, our proposed solution presents the next logical steps to the case worker.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-US-010	Usability	-	-	The Solution shall preserve context by design screens in logical sequence in order to maximize and enhance the user experience and solution usability.		Supported	N/A	Our proposed solution for the TEDS supports an intuitive driver mechanism to direct user to the next workflow step. Workflows represent logical groupings of related functional screens to process cases. The driver flows are organized in the solution using navigation menus.
NFR-US-011	Usability	-	-	The Solution shall display the users' language, with words, phrases and concepts familiar to the targeted user groups as defined by HCFA, rather than solution-oriented terms.		Supported	N/A	Our proposed solution for the TEDS contains business centric language, driven by user terms and processes, rather than solution-oriented terms. During requirements and validation phase, we will work with HCFA to update Tennessee specific language where appropriate.
NFR-US-012	Usability	-	-	The Solution shall allow the users to easily navigate to a variety of functions available to them without having to move sequentially through excessive menus and screens following industry standards described in UX 2014.		Supported	N/A	Our proposed solution for the TEDS comes built with eight preconfigured, pre-built case action workflows. These workflows are designed to guide workers through the recommended set of screens to complete a specific, common action on a case, while allowing the user to jump around within the specific workflows.
NFR-US-013	Usability	-	-	The Solution shall support undo and redo, or provide onscreen confirmation/acceptance to the user to confirm a change that is permanent and cannot be "undone" where appropriate.		Supported	N/A	Our proposed solution for the TEDS comes with out-of-the-box features such undo and cancel which provide users the option to confirm before proceeding with actions that are permanent. Our proposed solution provide the users with an onscreen confirmation/acceptance to the user, on select screens.
NFR-US-014	Usability	-	-	The Solution shall provide users with a clearly marked "escape" for the instances when a user mistakenly chooses a function and such "escape" must be simple with minimal dialogue.		Supported	N/A	Our proposed solution for the TEDS has screens that contain cancel, next, previous buttons. The cancel button can be used to escape out of the logical unit of work that the case worker is working on. Additionally, a logout button and a browser close button is available for the worker to escape out of the solution.
NFR-US-015	Usability	-	-	The Solution shall follow consistent conventions as determined by HCFA and limit the use of words, situations, or actions that have multiple meanings.		Supported	N/A	Our proposed solution for the TEDS follows standard and consistent conventions, using direct and easy to understand terminology and will not propose actions that have multiple meanings
NFR-US-016	Usability	-	-	The Solution shall detect common error conditions or check for them and present users with a confirmation option before they commit to the action.		Supported	N/A	Our proposed solution for the TEDS is able to detect common error conditions or check for them and present users with a confirmation option before they commit to the action. For example, if a case worker has chosen a minor child as the Head of Household, our proposed solution checks for that and shows a warning message to the case worker. Additionally, our client side validations framework also checks for validity and completeness of information on the screen.
NFR-US-017	Usability	-	-	The Solution shall minimize the user's memory load by making objects, actions, and options visible where appropriate.		Supported	N/A	Our proposed solution for the TEDS uses a clear structure, Implicit help, Visual aids to minimize the memory load.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-US-018	Usability	-	-	The Solution shall provide the option to have rollover / tooltip help or context messages and provide the option to turn off this option in the user preferences profile.		Partially Supported	N/A	Our proposed solution for the TEDS offers pre-configured field based contextual help by double clicking the field name. For new fields that are added or modified, we will work with the State to capture help text. This feature is configurable and can be turned on and off.
NFR-US-019	Usability	-	-	The Solution shall provide all user instructions in a visible or easily retrievable location (e.g. the help drawer in UX 2014 specification), when appropriate.		Supported	N/A	Our proposed solution for the TEDS adopts UX2014 specifications in areas such as tutorials, user guides, and context sensitive help that are easily accessible to end users.
NFR-US-020	Usability	-	-	The Solution shall cater to both inexperienced and experienced users and shall provide accelerators (e.g. onscreen short cuts, hot-keys, alternate workflows etc.) to speed up the interaction for the expert user.		Supported	N/A	Our proposed solution for the TEDS uses wizards to provide step-by-step instructions for performing the most common and critical application tasks. While our proposed solution provides the capability for following a controlled navigational flow for inexperienced users and also provides the capability to directly use the left navigation and make the necessary updates as an alternate work flow for experienced users.
NFR-US-021	Usability	-	-	The Solution's error messages shall be expressed in plain language, precisely indicate the problem, and constructively suggest a solution.		Supported	N/A	Our proposed solution for the TEDS displays error messages that expressed in plain language and provide precise description of the problem, along with necessary user action.
NFR-US-022	Usability	-	-	The Solution shall provide the option to use colors to enhance user experience and solution usability while complying with all disability requirements notated elsewhere in these requirements.		Supported	N/A	Our proposed solution for the TEDS uses Cascading Style Sheets (CSS) and other W3C aligned standards. These stylesheets are easily editable for our templates and all our screens inherit the default template/design for consistency, ease-of-use, and aligning with guidelines.
NFR-US-023	Usability	-	-	The Solution shall allow the user to navigate to any functional component from a landing page.		Supported	N/A	Our proposed solution's landing page allows users to navigate to functions based on their security and access profile. Upon selection of those functions, the solution directs the user to either a fixed navigational flow or a user-driven navigational flow.
NFR-US-024	Usability	-	-	The Solution shall alert the user with information relevant to required next steps.		Supported	N/A	Our proposed solution's member/Partner Portal directs the users to the required next steps. For example after the application is submitted on our Member Portal, it provides the list of potential verifications that may be needed to fasten the application processing. Additionally provides an option to continue and upload documents.
NFR-US-025	Usability	-	-	The Solution shall accommodate point and click selection and check box entry for all relevant data entries where appropriate to ensure that the user does not have to enter textual data that may already be available to the system.		Supported	N/A	Our proposed solution for the TEDS contains a simple and intuitive Graphical User Interface (GUI) which displays the relevant and necessary information to the user, at the appropriate time. For fields which have a standard set of responses, our proposed solution utilizes menu options such as drop-downs and check-boxes, so the user can view all options and select the relevant option.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-US-026	Usability	-	-	The Solution shall provide the ability to make fields enabled/disabled depending on parameters, user rights, and access controls.		Supported	N/A	Our proposed solution's security framework for the TEDS is based on role-based access control. Our proposed solution provides field level security: which allows fields to be enabled/disabled based on user roles, page level security: which allows the whole page to be editable/read only based on user roles. Additionally our custom tag functionality allows the fields to be enabled or disabled based on certain business logic if needed.
NFR-US-027	Usability	-	-	The Solution shall not show fields not accessible to a given user based on access rights, nor shall the Solution show fields not in use.		Partially Supported	N/A	Our proposed solution for the TEDS has navigational flow that allows the users to navigate only the required set of screens, based user profile and security privileges. This access is provided at a screen level.
NFR-US-028	Usability	-	-	The Solution shall provide validation checks by methods described in business rules.		Supported	N/A	Our proposed solution for the TEDS provides the capability to perform business rule validations. For example if an individual is requesting retro assistance for a month during which the client is already receiving full Medicaid, solution has a configurable business validation which alerts the case worker at the request screen as opposed to continuing and finding that at the end of Eligibility determination.
NFR-US-029	Usability	-	-	The Solution shall identify invalid entries to the user as immediately as possible.		Supported	N/A	Our proposed solution for the TEDS has a built-in client-side validation framework to validate entries as immediately as possible. For example, if a case worker enters only an eight digit SSN, our solution immediately notifies the user of the invalid entry.
NFR-US-030	Usability	-	-	The Solution shall provide the ability to suggest or automatically format entries (e.g. telephone number, address etc.) that do not conform to data entry standards.		Supported	N/A	Our proposed solution for the TEDS, provides the capability to update entries automatically to comply with data entry standards where appropriate (for example address standardization). Additionally our proposed solution's user interface provides standard format for the users to enter fields like SSN, DOB and telephone numbers which also has a key up feature for easier data entry.
NFR-US-031	Usability	-	-	The Solution shall be designed to include only the necessary information and functionality on screens for public and Worker Portal and shall be based on the user's access level and the user's configuration.		Supported	N/A	Our proposed solution for the TEDS has a navigational flow confirming that users are only navigated to required set of screens, based on applied programs and security privileges. This allows each user to be assigned specific role(s), which then allows them to only perform specific functions and only view specific fields, for which they have been granted access.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-US-032	Usability	-	-	The Solution shall provide screens for data entry with identified mandatory and optional data fields.		Supported	N/A	Our proposed solution for the TEDS clearly identifies mandatory and optional data fields, which the user is required to enter. If data is not entered in one or more mandatory fields, a validation edit will be displayed and the corresponding fields will be highlighted.
NFR-US-033	Usability	-	-	The Solution shall allow incomplete data sets to be saved for completion of the workflow at a later time.		Supported	N/A	Our proposed solution for the TEDS groups related information/screens into Logical Unit of Work (LUW) for data entry. Data entries persist once the user completes the LUW. The system retains the data including free form text or other documentation and tracks task completion so that progress is not lost if the user's session is interrupted.
NFR-US-034	Usability	-	-	The Solution shall notify the user when a source system is unavailable / inoperable and notify user that any available information about the subject being viewed is as of certain time and date.		Supported	N/A	Our proposed solution's monitoring and operating procedures helps certain authorized users within the organization receive alerts when the system is unavailable or is down for maintenance. Member/Partner Portal users will see this information on the home screen with an ETA of when the system will be back up.
NFR-US-035	Usability	-	-	The Solution shall enable central workflow alerts and transactional status. The Solution shall centralize pending work items for the user as in a "work queue"		Supported	N/A	Our proposed solution for the TEDS provides the capability of a centralized pending work queue. Separate work queues can be configured for each type of worker action such as new applications, changes, redetermination. Access to these queues can be configured in the employee profiles.
NFR-US-036	Usability	-	-	The Solution shall have the capability to push messages to the intended workers without requiring them to specifically inquire for the data.		Supported	N/A	Our proposed solution for the TEDS has the capability to automatically push alerts to certain workers based on their roles and office association. These alerts can either be tasks/reminders at the case and member level for items such as upcoming deadlines, pending tasks and overdue actions.
NFR-US-037	Usability	-	-	The Solution shall ensure that the use of acronyms and codes are consistent with windows, screens, reports and databases or data dictionary.		Supported	N/A	Our proposed solution's usage of acronyms for the TEDS is consistent with windows, reports, database or data dictionary. For example, our proposed solution uses MA as an acronym to represent Medicaid and is documented in the data dictionary.
NFR-US-038	Usability	-	-	The Solution shall present searches that result in multiple pages of data in small groups of data with Next/Back paging capability		Supported	N/A	Our proposed inquiry solution for the TEDS provides the capability to do wild card search and the results are displayed in a paginated manner for easy navigation and viewing of data. Each page has a previous/next link for the user to easily navigate across multiple pages of results.
NFR-US-039	Usability	-	-	The Solution shall allow the web site wherever appropriate to show progress via the use of Progress Bars.		Supported	N/A	Our proposed solution for the TEDS shows progress bars with respect to the application status on member/ partner and Worker Portal.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-US-040	Usability	-	-	The solution shall utilize the concepts and design specifications demonstrated in the UX 2014 prototype to be leveraged where applicable.		Supported	N/A	Our proposed solution for the TEDS adopts UX2014 specifications in areas such as tutorials, user guides, and context sensitive help that are easily accessible to end users.
NFR-SP-001	Security	Data Protection and Privacy	-	The contractor shall, according to Federal and State regulations and policies in accordance with the guidance defined in MARS-E standard, design, document, develop, implement, operate, and maintain security controls over access to the sensitive data (e.g. PII, PHI, FTI, etc. from various sources that may include, but not limited to IRS and SSA) as defined the State and Federal policies and regulations (e.g. NIST-800 series and IRS-1075)		Supported	C.14.6, C.14.7, and C.14.8	Deloitte will classify the data in the TEDS system and apply required access controls to address applicable State and Federal regulations. Please see RFQ response sections C.14.3, C.14.6, C.14.7, and C.14.8 for more details.
NFR-SP-002	Security	Regulatory Compliance	-	The Solution shall be governed by HCFA's implementation of the CMS Information Technology Enterprise Lifecycle (IT ELC) Gate Review process. The contractor shall be responsible for preparing all the artifacts required by HCFA at each gate review and shall provide the HCFA all support necessary to represent the Solution at each gate review with CMS. The gate reviews and the artifacts required are governed by a Project Process Agreement (PPA). The contractor shall reference the Baseline PPA Document to the external reference documents.		Supported	C.14.9	Deloitte is very familiar with the CMS review process having assisted over 22 States with CMS reviews. Deloitte will be responsible for developing the artifacts necessary for the gate reviews. Please see RFQ response C.14.9 for more details.
NFR-SP-003	Security	Regulatory Compliance	-	The State of Tennessee Strategic Technology Solutions (STS) group within the Department of Finance and Administration will provide secure hosting facilities and services for the Solution. The SI, under the oversight of HCFA, shall be responsible for coordinating, implementing, executing, and monitoring security related activities that involves a third-party vendor such as but not limited to STS and AHS. HCFA employees shall be involved in all communications with third-party vendors.		Supported	C.14.13 and C.14.12	Deloitte will monitor and assess compliance with security and privacy policies, processes, procedures and documentation for users of the TEDS solution, including third-party vendors, based on our continuous monitoring approach outlined in section C.14.12.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-SP-004	Security	Regulatory Compliance	-	The contractor shall employ a risk management framework to ensure business and system requirements with State and Federal security requirements. The contractor shall demonstrate in their proposal the framework, its processes, how the contractor will implement and manage it as well as how it will integrate with state business, organizational and technology goals and objectives. The contractor shall integrate this with their proposed approach to project governance and management.		Supported	C.14.1, C.14.4, and C.14.14	Deloitte's demonstrated Security and Privacy Risk Framework will be used to assist the State in addressing applicable federal and State security and privacy requirements. Please see RFQ response sections C.14.1, C.14.4, and C.14.14 for more details.
NFR-SP-005	Security	Regulatory Compliance	-	The Solution shall implement a security architecture based on current Medicaid Information Technology Architecture (MITA) Security and Privacy model and other applicable architecture documents.		Supported	C.14.8	Deloitte will deploy a role based access control (RBAC) model, based on a tiered Services Oriented Architecture (SOA) in accordance with MITA 3.0 standards. Please see RFQ response C.14.8 for more details.



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes	
NFR-SP-006	Security	Regulatory Compliance	-	<p>The contractor shall utilize the guidance provided in MARS-E 2.0 and shall be responsible for ensuring that the Solution meets all Industry, State, and Federal Security standards. At a minimum, the contractor shall ensure the Security of the Solution follows the following Federal regulations and publications:</p> <ul style="list-style-type: none"> i. 45 CFR Part 95.621(f) ADP System Security Requirements and Review Process ii. Standards defined in Federal Information Processing Standards (FIPS) issued by the National Institute of Standards and Technology (NIST) iii. National Institute of Standards and Technology (NIST) Special Publication 800-111 Storage Encryption Technologies for End User Devices iv. NIST 800 Series v. NIST Cryptographic Module Validation List (http://csrc.nist.gov/groups/STM/cmvp/validation.html) vi. FIPS PUB 112 Password Usage Procedure vii. FIPS PUB 186-3 Digital Signature Standard June 2009 viii. Records Usage, Duplication, Retention, Re-disclosure and Timely Destruction Procedures/Restrictions 5 U.S.C. 552a (o)(1)(F), (H) and (I) ix. IRS Pub 1075 x. Federal Records Retention Schedule 44 U.S.C. 3303a xi. Privacy Act of 1974 at 5 U.S.C. 552a xii. Computer Matching and Privacy Protection Act of 1988 (CMPPA) xiii. Federal Information Security Management (FISMA) xiv. SSA Information System Security Guidelines for Federal, State, and Local Agencies xv. Child Online Privacy Protection Act xvi. Title XIX Confidentiality Rules xvii. HIPAA xviii. Title XXI xix. Federal security and privacy standards adopted by the U.S. Department of Health and Human Services for Exchanges 		Supported	C.14.1 and C.14.7	Deloitte will leverage its Risk Framework to develop security requirements and associated design elements for the TEDS solution to address applicable federal and State regulatory requirements. Please refer to RFQ response sections C.14.1 and C.14.7 for more details.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-SP-007	Security	Security Controls	-	The Solution services and infrastructure shall adhere to best practices and use open security standards and frameworks, as appropriate, such as but not limited to: i. Policy: WS-Policy, WS-Trust, WS-Privacy, Security Assertion Markup Language (SAML), Enterprise Privacy Authorization Language (EPAL) ii. Federation: WS-Secure Conversation, WS-Federation, WS-Authorization, XML Key Management (XKMS) iii. Mechanism: Extensible Access Control Markup Language (XACML), XML Encryption, XML-Digital Signatures, Extensible rights Markup Language (XrML), X.509 certificates		Partially Supported	C.14.8	Deloitte's solution supports most open security standards and frameworks. Please see RFQ section C.14.8 for additional details.
NFR-SP-008	Security	Directory Service	-	The Solution shall use an Identity and Access Management (IDAM) solution for user authentication and authorization as well as the secure management of credentials. The IDAM solution shall be in compliance with relevant security controls defined in MARS-E standard. While the contractor may propose an IDAM solution, the Oracle Identity Access Management Suite has been selected by HCFA as its long-term IDAM solution. HCFA encourages the contractor to utilize this product in alignment with HCFA's strategic direction.		Supported	C.14.8	Deloitte's solution will integrate with HCFA's Oracle Identity and Access Management (IDAM) suite for user authentication, authorization, and secure management of credentials. Please refer to RFQ response section C.14.8 for additional details.
NFR-SP-009			-	In the event the SI's Solution is strongly tied to a particular Identity and Access Management (IDAM) product, HCFA will give serious consideration to approving the use of that product. However, Oracle's Identity Access Management Suite has been selected and by HCFA as its long-term IDAM solution and HCFA strongly encourages the contractor to utilize this product in alignment with HCFA's strategic direction.		Supported	C.14.8	Deloitte's solution will integrate with HCFA's Oracle Identity and Access Management (IDAM) suite for user authentication, authorization, and secure management of credentials. Please refer to RFQ response section C.14.8 for additional details.
NFR-SP-010	Security	Identity and Access Management (IdAM)	-	The Solution shall allow password reset capabilities in accordance with best practices and MARSE guidelines. Preference is given for web based methods.		Supported	C.14.8	Deloitte will integrate with HCFA's current Oracle IDAM solution and will address MARS-E 2.0 guidelines for password management and password reset capabilities.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-SP-011	Security	Identity and Access Management (IdAM)	-	The contractor shall design and enable workflows for managing internal user accounts including but not limited to requests, approvals, role assignments etc.		Supported	C.14.8	Deloitte will work with the State to design and establish workflows for managing internal user accounts. The workflows will be documented as part of the overall Operations document.
NFR-SP-012	Security	Identity and Access Management (IdAM)	-	<p>The Solution shall utilize dynamic Knowledge Based Authentication (KBA) to be used during a consumer's account setup process. This identity process shall ask a minimum of three (3) "out of wallet" questions to perform a KBA process. If one question is answered incorrectly the solution shall ask two (2) supplemental questions. If more than one question is answered incorrectly then the email address and SSN shall be "quarantined" (i.e., no one can apply using these details) and the applicant shall enter a person-to-person process to free the application from quarantine and setup their account.</p> <p>The Dynamic KBAs shall use external services to verify the individual KBA responses. Many Medicaid clients may have little financial history and so a service that does not rely purely on credit is preferred or a service that can leverage other government data sources (e.g. Federal Data Services Hub (FDSH) Remote Identity Proofing (RIDP) service).</p>		Supported	C.14.2 and C.14.8	Deloitte's solution will leverage Oracle's Adaptive Access Manager (OAAM) to address the KBA requirement. The solution will also leverage the Federal Data Services Hub (FDSH) Remote Identity Proofing service (RIDP) to perform Identity proofing.
NFR-SP-013	Security	Security Controls	-	The Solution shall display an informational message with contact information on whom to contact when access is denied.		Supported	C.14.8	Deloitte will integrate with HCFA's current Oracle IDAM solution and will address MARS-E guidelines to the solution including displaying an informational message with contact information on whom to contact when access is denied.
NFR-SP-014	Security	Security Event and Incident Management (SEIM)	-	The contractor shall provide audit reports for tracking users, associated security groups, roles, settings, passwords and duplicate IDs. The frequency and content of security audit reports will be determined by the HCFA.		Supported	C.14.4 and C.14.8	Deloitte's solution is capable of creating the required audit reports as requested by HCFA. Reports from QRadar and Oracle Audit Vault will track user and identity management and access events, and role, group, and password management events. Deloitte will work with HCFA to determine the frequency and content of reports, their content, and the frequency of the review.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-SP-015	Security	Regulatory Compliance	-	The contractor shall provide certifications of the completion for audit review of security and privacy related training for project staff as well as signed acknowledgements of security and privacy obligations as requested by HCFA.		Supported	C.14.4.2	Deloitte's security officer will maintain the certification of training as well as signed acknowledgements for Deloitte's project staff and will provide it to HCFA upon request.
NFR-SP-016	Security	Identity and Access Management (IdAM)	-	The Solution shall provide accessibility to the Worker Portal via a single sign-on adhering to standards of security technologies such as but not limited to SAML.		Supported	C.14.8	Deloitte's solution is capable of integrating with the State's Active Directory environment to provide single sign on capabilities for the Worker Portal.
NFR-SP-017	Security	Physical Security	-	The contractor shall develop and provide HCFA a System Security Plan that addresses the contractor physical security processes.		Supported	C.14.8	Deloitte will develop a Security Management Plan (SMP) that addresses contractor physical security processes.
NFR-SP-018	Security	Physical Security	-	The contractor shall protect all contractor facilities against intrusion, during working and non-working hours, with an appropriate surveillance alarm/system extended to a manned monitoring center, and adhere to IRS SCSEM, CMS MARSE, and general best practices..		Supported	C.14.8 and C.14.11	Deloitte will protect all contractor facilities against intrusion by using a combination of cameras and badge access to protect the location.
NFR-SP-019	Security	Security Event and Incident Management (SEIM)	-	The contractor shall produce a Data Classification Document that defines the data elements related to the security and privacy controls in the Solution. The Data Classification Document is a key factor in determining the artifact requirements applicable for the project and detailed in the PPA. The Data Classification Document shall track and monitor changes from input and output sources. **reconcile with data architecture requirement**		Supported	C.14.6	Deloitte will produce a data classification document that defines the data elements related to security and privacy controls. Please see RFP response C.14.6 for more details.
NFR-SP-020	Security	Security Event and Incident Management (SEIM)	-	The Solution shall integrate with HCFA's SIEM solution (currently IBM QRadar).		Supported	C.14.4 and C.14.8	Deloitte 's proposed solution will integrate with HCFA's QRadar SIEM solution. We have integrated QRadar with our NextGen solution for other States.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-SP-021	Security	Security Event and Incident Management (SEIM)	-	The contractor shall be responsible for integrating and providing configuration for database audit solution		Supported	C.14.4 and C.14.8	Deloitte will integrate Oracle Audit Vault with the TEDS solution to provide database auditing and monitoring solution.
NFR-SP-022	Security		-	The contractor shall not use copies of production data in non-production environments. Synthetic test data (totally secure, realistic, meaningful sets of data) shall be used in non-production activities. The IRS considers masked, derived, obfuscated, and de-identified data based from FTI to still be FTI. FTI in non-production environments must pass IRS approval process.		Supported	C.14.4.3	Deloitte will not use copies of production data in non-production environments.
NFR-SP-023	Security	Data Protection and Privacy	-	The contractor shall be responsible for identifying and notifying HCFA security of any sensitive data being stored processed, viewed or otherwise used by its staff that would concern HCFA security and privacy.		Supported	C.14.6, C.14.10, and C.14.11	Deloitte will identify and classify sensitive data, monitor access to it using QRadar and Oracle Audit Vault, and notify HCFA of any potential security or privacy concerns from data usage by it's staff.
NFR-SP-024	Security	Regulatory Compliance	-	The contractor shall ensure all appropriate measures are in place for minimal use and protection per applicable regulations for the data types and classifications. Policies, procedure and related controls around the use of sensitive data and segregation of duties may be required and reasonable made available for review by HCFA security or audit staff.		Supported	C.14.1, C.14.4, C.14.6 and C.14.8	Deloitte will use Role Based Access Control (RBAC) based on the principle of least privilege, to facilitate that sensitive data is protected against unauthorized access. Deloitte develops a Confidential Information Management Plan (CIMP) that outlines policies and procedures for the handling of sensitive data. This will be available to HCFA for review.
NFR-SP-025	Security	Identity and Access Management (IdAM)	-	The contractor shall provide ability to have different access levels based on user group. The access levels shall be configurable based on actions that can be taken on the application.		Supported	C.14.4 and C.14.8	Deloitte's the TEDS solution uses a Role Based Access Control (RBAC) that includes group memberships, to provide the ability to have different access levels based on user groups.
NFR-SP-026	Security	Identity and Access Management (IdAM)	-	The Solution shall be configurable to add users to multiple user groups. If conflicting access level occur due to a user being in multiple user groups, the lowest access level will take precedence for a particular action.		Supported	C.14.4 and C.14.8	Deloitte's the TEDS solution allows for users to be assigned to multiple groups. Deloitte will work with State to create an RBAC model based on least privilege and to address separation of duties rules.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OCM-001	Organizational Change Management (OCM)	OCM	General	The contractor shall include, consult, and work directly with assigned project Organizational Change Management & Training (OCMT) personnel for any and all process, systems, and/or operating model planning, analysis, and/or design efforts, workshops, and/or other meetings		Supported	C.4.2.4 OCMT Team Approach	The Deloitte OCMT team becomes contributing members to the overall OCMT team to support all OCMT related activities. This includes active participation in all meetings related to process, system, operating model planning and design that impact the success of the TEDS solution implementation.
NFR-OCM-002	Organizational Change Management (OCM)	OCM	General	The contractor shall work directly with assigned project Organizational Change Management & Training (OCMT) Team Members for any identified OCM, Stakeholder, or Communication needs, as required by the State to ensure adherence with State-approved OCMT methodology		Supported	C.4.2.1 Organizational Change Management and Training (OCMT) Approach	Our approach utilizes existing materials from our successful eligibility determinations to accelerate the development activities so that we spend more time working with the State tailoring stakeholder, communication and training materials, rather than creating content from scratch. This approach includes lessons learned from states that successfully made the transition from multiple legacy systems. To create a climate for change in the State, it is essential to manage stakeholder relationships and engage with all stakeholders early and often. This type of regular communication and interaction guides the project and ultimately empowers these stakeholders to own and sustain the changes.
NFR-OCM-003	Organizational Change Management (OCM)	OCM	Resources and Support	The contractor shall assist the OCMT Team in assessing the change magnitude for the project in question to initially define and/or refine OCMT scope and overall approach as inputs for the development of any stakeholder engagement plans		Supported	C.4.1 Stakeholder Analysis and Management	Driving a large-scale change such as the EMP requires alignment among high influence and high impact stakeholders to create powerful guiding teams. In addition to the State, external stakeholders and community leadership groups such as community partners must be included to represent all levels and perspectives of the stakeholder population. Internal and external stakeholders at all levels must personally own, lead, and be committed to the project, promoting positive reinforcement of the change program across different constituencies. An early responsibility of the OCMT team is to define and refine the OCMT scope to establish the appropriate stakeholder engagement plans. In the initial phase of the project Deloitte performs a Stakeholder Assessment and ultimately builds a Stakeholder and Communication Management Plan that drives the understanding and execution of all impacted stakeholders and their communication needs.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OCM-004	Organizational Change Management (OCM)	OCM	General	The contractor shall provide the project plan and validate major milestones and timing to ensure alignment with Stakeholder and/or OCMT activities across the project lifecycle		Supported	C.4.2.5 Project Plan	The Deloitte OCMT team actively engages with the functional Deloitte and State team to align Stakeholder Management and OCMT activities to the appropriate project timeline
NFR-OCM-005	Organizational Change Management (OCM)	OCM	Resources and Support	The contractor shall work with the OCMT Team to identify appropriate stakeholders and messaging for project-related communication and stakeholder engagement needs		Supported	C.4.1 Stakeholder Analysis and Management	The State and Deloitte Project teams are defined as a key stakeholder group to facilitate engagement throughout the System Development Life Cycle, supporting a team to develop a solution that takes all end users into account
NFR-OCM-006	Organizational Change Management (OCM)	OCM	Stakeholder Management	The contractor shall adhere to the OCMT MMP Stakeholder Management Plan(s) and follow relationship/interaction mapping requirements when identifying and/or engaging stakeholders for the purpose of data and information collection		Supported	C.4.1 Stakeholder Analysis and Management	With such a large-scale change, it is important to take a purposeful approach to drive the change across impacted staff. Deloitte leverages and respects the existing relationships established and works to align the stakeholder engagement approach to the existing OCMT MMP Stakeholder Management Plan
NFR-OCM-007	Organizational Change Management (OCM)	OCM	Stakeholder Management	The contractor shall coordinate and communicate stakeholder engagement needs and results to the designated OCMT Stakeholder Register manager		Supported	C.4.1 Stakeholder Analysis and Management	The OCMT Stakeholder Register Manager becomes a resource in validating the stakeholder assessment results and is consulted throughout the implementation of the Stakeholder Management Plan
NFR-OCM-008	Organizational Change Management (OCM)	OCM	Communications	The contractor shall coordinate with the project manager in compliance with communication plan(s) on all identified communication needs to ensure any communication needs are in alignment with, and/or added to, approved project-specific communication plan(s) as defined by the project team		Supported	C.4.1 Stakeholder Analysis and Management	The Stakeholder and Communication Management Plan remains a living document that is updated as needed based on the State Project Director's guidance to align communication needs and messages to the appropriate tone of the project
NFR-OCM-009	Organizational Change Management (OCM)	OCM	Documentation	The contractor shall provide access to key documentation and subject matter experts in any quantity and quality as the State might deem reasonable to support assessing organizational impact and other OCMT Plan activities as needed		Supported	C.4.1 Stakeholder Analysis and Management	The Deloitte OCMT team works with identified State leadership during the analysis phase to define the organizational impact as a component of the Stakeholder Management Plan. The Deloitte functional team and subject matter experts work hand and hand with the OCMT team to provide all system documentation required to define system user roles



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OCM-010	Organizational Change Management (OCM)	OCM	Resources and Support	<p>The contractor shall provide resources sufficient in any quantity and capability as deemed reasonable by the State to support the following OCMT Plan activities, including but not limited to:</p> <ol style="list-style-type: none"> 1. All the activities defined to support the various phases of the State-approved approach as defined in the OCMT Plan (i.e., Analysis, Design, Development, Implementation, and Evaluate) and/or State-approved Stakeholder Analysis and Management Plan. (See the Organizational Change Management & Training Plan framework for more information on the State-approved OCMT Approach) 2. Proactively identifying or assisting in the identifying of areas of impact and the potential resolution to areas of impact as they pertain to organizational design requirements and applicable stakeholder engagement plans 3. Providing input into the Change Magnitude Assessment tool 4. Supporting the identification of key stakeholders 5. Validating identified change impacts (both system and process related) 6. Providing subject matter experts in specific work areas, processes, applications, etc. to support awareness building sessions and/or other stakeholder engagement activities 		Supported	<p>C.4.1 Stakeholder Analysis and Management</p> <p>We bring a stakeholder management and OCMT team of experts with years of experience in Medicaid system implementations to Tennessee. Through the Stakeholder and Communication Management Plan Deloitte identifies all impacted stakeholders and their engagement needs, organizational areas of impact, and identified change impacts to develop an implementation approach that supports all stakeholders with the transition to the TEDS solution. A key component of our Stakeholder Management Plan and OCMT Approach is providing Tennessee with the right experts to drive true engagement and ownership of the impacted system and process changes to all identified stakeholders.</p>
NFR-OCM-011	Organizational Change Management (OCM)	Training	Documentation	<p>The contractor shall provide process flows (end-to-end processes), including application process steps and systems documentation (including screen shots) to OCMT Training team that can be utilized as the foundation to build MMP related trainings</p>		Supported	<p>C.4.2.6 Process Flows</p> <p>In the early phase of the project, Deloitte provides end to end process flows to enable the OCMT team to define communication and training approach to the areas of impact to each stakeholder group. Communication and training needs to be customized by the level of impact to each stakeholder group. This level of impact is derived from the change in processes for users based on the new process flows.</p>



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OCM-012	Organizational Change Management (OCM)	Training	General	<p>The contractor shall provide resources sufficient in any quantity and capability as deemed reasonable by the State to support the following training activities, including but not limited to:</p> <ol style="list-style-type: none"> 1. All those activities defined to support the various phases of the Training Approach (Analysis, Design, Development, Implementation, and Evaluate) that are included in subsequent sections of this document (See the Organizational Change Management & Training Plan framework for more information on the State-approved Training Approach) 2. Defining user roles 3. Supporting the identification of appropriate curriculum and delivery models 4. Participating and providing information during Training Development Knowledge Share Sessions 5. Validating and approving training materials related to the technical solution 6. Building and maintaining the training environments 7. Creation of user profiles and log-in credentials in quantity as requested by the State to allow trainers and end users appropriate access to the training environments 8. Providing subject matter experts in specific work areas, processes, applications, etc. to support classroom learning and Train-the-Trainer programs (supplying at least 1 SME in each discreet classroom training event) 9. Providing a plan and active support of Post Go-Live training events that encompass prior training support activities delivered or supported by the contractor for a period of time as deemed reasonable by the State 		Supported	<p>C.4.2.7 OCMT Team Training Responsibilities</p> <p>Deloitte brings to Tennessee a team with over 30 combined years of training design and delivery in integrated eligibility systems. The Deloitte OCMT team works to support all the required training activities as outlined in requirement A.20.7. This section outlines Deloitte's methodology for meeting the learning needs of the end users using the industry-standard ADDIE approach: Analyze, Design, Develop, Implement, and Evaluate. This proven methodology promotes the right training method and materials reaching the right end users at the right time. Deloitte's training methodology is designed to support incorporating business processes into system training. We have experience applying this approach to numerous statewide system implementations.</p>



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OCM-013	Organizational Change Management (OCM)	Training	Resources and Support	<p>The contractor will support the Training Analysis phase (or process) by providing and collaborating with the Training team on an ongoing basis in the following ways, including but not limited to:</p> <ol style="list-style-type: none"> 1. Providing insight into role definition and assignments required to operate and/or support future-state applications and processes 2. Providing insight into standard training curriculum requirements required to support future-state applications and processes 3. Providing insights into the training delivery framework required to support future-state applications and processes 4. Actively collaborating with training team to determine best of breed training approaches for the State end user population 		Supported	<p>C.4.2.7 OCMT Team Training Responsibilities</p> <p>Training Needs Analysis serves to gain an understanding of who needs to be training to use Tennessee Medicaid and the functions for which they require training, to determine appropriate methods for training Tennessee Medicaid users, and to identify objectives for training objectives. The Needs Assessment identifies the Tennessee Medicaid audiences. The Training Plan offered outlines the curriculums based on functionality for each end user.</p>
NFR-OCM-014	Organizational Change Management (OCM)	Training	Environments	<p>The contractor shall build and maintain 2 fully functional training environments representative of the final-state operational system (e.g., final user interface/GUI) that are dedicated to supporting training activities. The 2 separate environments must clearly and accurately reflect upcoming software versions and closely align with the software release schedule. The environments will be used for the purpose of:</p> <ul style="list-style-type: none"> · Training Development · Training Delivery 		Supported	<p>C.4.2.9 Training Environments</p> <p>A fundamental component of our training program is the ability to allow key staff to become familiar with the TennCare Solution through extensive hands-on practice exercises, system simulations and walk-throughs of realistic business scenarios. Deloitte develops and maintains two Training Environments that are used during classroom and virtual training that mirrors the final production environment. Our experience has shown us that the more time key staff spends practicing in a new system environment, the better prepared they are to deliver effective training to State staff and troubleshoot issues and answer questions that arise during training. Deloitte agrees to develop two training environments to support OCMT training activities at least three months prior to go-live of each phase. Our experience in delivering similar systems and training does recommend delaying the release of the OCMT training environment to closer to go-live and leveraging a testing environment for training material development. Deloitte plans to actively work with the OCMT team to best define the appropriate timelines in the planning phase of the project.</p>



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OCM-015	Organizational Change Management (OCM)	Training	Environments	<p>Training Development and Training Delivery environments should include the following, at a minimum & not limited to:</p> <ol style="list-style-type: none"> 1. Transactional data (masked according to the security and/or confidentiality guidelines provided by the State) 2. Training Development Environment to stage scenarios, get screen shots, etc., to support the defined training schedule 3. Identification and provision of training environment data in order to provide for scenario based training 4. Specific trainer profiles & credentials that provide fully functional capabilities within both the development and delivery environments 5. Sufficient user profiles respective of future state roles within HCFA to perform and execute any and all potential concurrent classes as defined by the training schedule and/or the State 6. Associated log in credentials to support user profiles 7. Training Environment must be established and access granted to the OCMT Team no fewer than seven (7) months prior to "go-live" such that the development of all requisite training materials may begin in earnest 		Supported	<p>Deloitte develops and maintains two training environments to support the OCMT team's development and delivery of training activities. At a minimum the training environments have the following capabilities and features:</p> <ul style="list-style-type: none"> • Transactional data (masked according to the security and/or confidentiality guidelines provided by the State) • Stage scenarios, get screen shots, etc., to support the defined training schedule • Identification and provision of training environment data to provide for scenario based training • Specific trainer profiles and credentials that provide fully functional capabilities within both the development and delivery environments • Sufficient user profiles respective of future state roles within the State to perform and execute any and all potential concurrent classes as defined by the training schedule and/or the State • Associated log in credentials to support user profiles • Established and access granted to the OCMT Team no fewer than seven (7) months prior to Go-Live of each release to allow the development of all requisite training materials. o Note: Given our system implementation experience Deloitte recommends this timeline be evaluated at the start of the project • Established and access granted to end-users no fewer than three (3) months prior to Go-Live of each release.



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
	Organizational Change Management (OCM)	Training	Resources and Support	<p>The contractor will support the Training Design and Development phases (or process) by providing and collaborating with the Training team on an ongoing basis in the following ways, including but not limited to:</p> <ol style="list-style-type: none"> 1. Aligning project plan(s) and validating major milestones to support training timelines 2. Providing existing and historical baseline training materials (in digital or print format as required by the State) such as but not limited to training manuals, quick reference guides, PowerPoints, simulations, etc. 3. Actively participate and provide information during Training Development Knowledge Share Sessions 4. Training and supporting the OCM Training personnel on any an all system specific work areas, processes, applications, etc. as deemed appropriate by the State for the purposes of executing a system-based scenario training program to all impacted State personnel 5. Providing, as requested, validation of future-state process information and documentation 6. Providing or cooperating in the identification of realistic, representative business scenarios to be used for training development and delivery purposes as defined by the State 7. Providing access to the training development environment at the outset of the Training Development Phase 8. Coordinate and support the development and maintenance of hardware requirements (for example, but not limited to, classroom computers or laptops, independent servers that might be required to house training development tools and associated content, etc.) with the State for training delivery purposes 9. Adhering to the KPMG TN TAS and/or OCMT QM process as they have been approved by the State 		Supported	<p>C.4.2.10 Supporting the Training Design and Development Phases</p> <p>The first step in the ADDIE methodology is to Analyze/Design the best strategy for a successful training plan. In this phase a training strategy is confirmed and documented in the Master Training Plan. A thorough, well-thought training strategy is essential to define the understanding of training needs, and critical success factors, assumptions, and to confirm the recommended training approach.</p> <p>The second step in the ADDIE methodology is to Develop high quality materials required to deliver training. The curriculum is based on the identified processes and corresponding system changes all end user groups need to perform the daily activities identified in the Training Needs Analysis. Deloitte develops materials and identifies optimal mediums for dispersing materials in collaboration with the State.</p>



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OCM-017	Organizational Change Management (OCM)	Training	Resources and Support	<p>The contractor will support the Training Implementation phase (or process) by providing and collaborating with the Training team on an ongoing basis in the following ways, including but not limited to:</p> <ol style="list-style-type: none"> 1. Delivering (or supporting the delivery of) and actively participating in training and/or classroom sessions and activities as needed and defined by the State in order to provide subject matter expertise in specific work areas, processes, applications, etc. (supplying at least 1 SME in each discreet classroom training event) 2. Providing feedback on training program for continuous improvement efforts 3. Providing necessary support for the appropriate maintenance of the training environment (e.g., making updates to scenarios or transactional data to support continuous improvement) 4. Providing necessary resources to execute and maintain an active training environment refresh schedule based on scheduled training events to support any and all potential concurrent classes as defined by the training schedule 5. Actively participate in any and all necessary hardware and other training infrastructure support activities to ensure smooth and consistent training delivery 6. Training Delivery to begin no fewer than two (2) months prior to "go-live" and remain open for no fewer than one (1) month after "go-live," as required by the State 		Supported	<p>C.4.2.11 Supporting the Training Implementation Phase</p> <p>The third step in the ADDIE methodology is to Implement by effectively delivering training to users. Deloitte has extensive experience in development of Train-the-Trainer (TTT) curriculum for both our own and our clients' training staff, and our team is well-prepared to develop this training for the State's identified key staff. Leveraging the best practices learned we design our TTT training approach with a single objective in mind: the State OCMT Team becomes proficient in the system's business functions to effectively deliver end user training on the system. Our training team works closely with the State throughout all TTT training-related planning and delivery activity. Deloitte's extensive library of training tools and documentation includes proper presentation and techniques to engage varying types of adult learners who are learning to navigate and use the new system. Our training materials and teaching approach accommodates all adult learning styles - including hands-on exercises based on real-life business scenarios, demonstrations, simulations, and online courses that are flexible and convenient based on the trainee's schedule. All TTT training materials, including manuals, are reviewed and approved by the State prior to the delivery of training.</p>



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OCM-018	Organizational Change Management (OCM)	Training	Resources and Support	The contractor will support the Training Evaluation phase (or process) by providing and collaborating with the Training team in the following ways, including but not limited to: 1. Developing a Knowledge Transition Plan that encompasses prior training support activities delivered or supported by the SI 2. Providing a plan and active support of Post Go-Live training events that encompasses prior training support activities delivered or supported by the contractor for a period of time as deemed reasonable by the State		Supported	C.4.2.12 Supporting the Training Evaluation Phase The fourth step in the ADDIE methodology is to Evaluate the effectiveness of end user training from the implementation phase. Deloitte uses the Kirkpatrick Evaluation Model, the long recognized standard for training evaluation, as the basic method to collect information from trainees and evaluate the effectiveness of the end user training. The Kirkpatrick model provides the following measurements: • Provide for continual quality assurance of the training program • Validate that the training curriculum and delivery effectively prepared end users to integrate the new systems into their daily business routines • Serve as continuous input for ongoing training material enhancement • Assess the impact training has on the business goals of the VTR and DL systems modernization project, including reducing the administrative workload in local offices, streamlined services, and improved process efficiencies We leverage technology to the greatest extent possible throughout the evaluation process so that results can quickly be compiled, analyzed, and acted upon. Results are compiled for review so that the training materials and delivery methods can be modified as needed.
NFR-OCM-019	Organizational Change Management (OCM)	Training	Resources and Support	The contractor shall support any and all other training activities to ensure an effective, positive learning experience as required by the State.		Supported	C.4.2.14 Supporting Other Training Activities The Deloitte OCMT team members fully support additional training activities to foster a positive learning experience.
NFR-OCM-020	Organizational Change Management (OCM)	Training	Resources and Support	The contractor shall provide a full-time, dedicated OCMT counterpart with appropriate OCMT background, to be approved by the State, whose responsibilities will include, at a minimum, the effective and timely execution of any and all OCMT activities throughout the duration of all relevant Program project lifecycles		Supported	C.4.2.15 Full-Time Dedicated OCMT Counterpart Deloitte delivers a full-time OCMT counterpart to support the overall OCMT team throughout the lifecycle of all OCMT activities. This dedicated team member brings over five years of experience in implementing OCMT projects for four different system implementations of similar size and scope.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-001	Operations and Maintenance	Continuous Improvement Processes	Define Areas of Improvement	The contractor shall perform formal maturity assessments and service reviews against each capability. Assessments shall be conducted at least once a quarter, in order to highlight areas of improvement or concern. The findings of the maturity assessments and the service reviews shall be published to HCFA. The effectiveness of the CIP shall be demonstrated through these assessments over time, and shall be presented to HCFA in an annual review.		Supported	C.12.2	Deloitte's O&M team assembled for TEDS comes to the State with broad experience in assessing the maturity of business processes in similar State systems. We perform routine formal assessments using our assessment tool on a quarterly cadence, at a minimum, which are based on operational reports for KPIs, interviews with key stakeholders, as well as an independent review of project outcomes to proactively highlight areas of improvement and risks before they have an impact on the system. Findings of assessments will be published and reviewed with the State to prioritize system enhancements, process changes, or mitigation plans. We also affirm that the CIP is to be reviewed with the State for effectiveness on an annual basis.
NFR-OM-002	Operations and Maintenance	Continuous Improvement Processes	Define Areas of Improvement	The contractor shall be pro-active in its approach, developing quarterly and annual improvement roadmaps detailing initiatives on a three year cycle and set target maturity levels to measure success of the CIP.		Supported	C.12.2	Deloitte will work proactively and collaboratively with the State to develop quarterly and annual improvement roadmaps detailing initiatives on a three year cycle. These roadmaps act as a vision for incrementally enhancing TEDS components or processes and provide reference against which to prioritize initiatives. Target maturity levels will be reviewed and reassessed periodically to measure as well as improve the success and effectiveness of the CIP.
NFR-OM-003	Operations and Maintenance	Continuous Improvement Processes	Gather and Process the Data	The contractor shall be responsible for gathering and rationalizing the supporting data for each defined KPI, and making it consistent to identify any potential gaps in the data.		Supported	C.12.2	Deloitte will constantly gather supporting data on KPIs that we mutually identify and agree upon. This data is rationalized in a consistent manner to identify potential gaps.
NFR-OM-004	Operations and Maintenance	Continuous Improvement Processes	Gather and Process the Data	The contractor shall develop reports and dashboards to support the CIP and make them available to HCFA on a monthly basis. Reports and dashboards and the underlying KPIs will be continuously reviewed and modified in order to mature the CIP and produce the best results.		Supported	C.12.2	Reports and dashboards to support the CIP will be made available to the State on a monthly basis. These reports and dashboards will be reviewed with the State and modified to mature the CIP to achieve the best results.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-005	Operations and Maintenance	Continuous Improvement Processes	Analyze Data	The contractor shall perform data analysis for all relevant services as defined within the CIP. Data analysis shall be performed at least once per quarter.		Supported	C.12.2.3	Deloitte will continuously monitor and analyze data in a proactive manner and formal reports of our analysis will be presented and reviewed with the State at least once a quarter. During the review sessions, Deloitte will present analysis to accurately represent performance against delivered services and KPIs. These reports will be presented in a manner to give an accurate insight into the health of the system and to help the State identify gaps and, in turn, make effective decisions to improve the system.
NFR-OM-006	Operations and Maintenance	Continuous Improvement Processes	Analyze Data	The contractor shall produce data analysis report and shall publish the report to the various HCFA stakeholders. The data analysis report shall present accurate picture of the results of each service performance against the defined KPIs (referenced at each capability section), allowing HCFA's stakeholders maximum visibility to enhance effective managerial decision making.		Supported	C.12.2	Innovation is embedded within our methodology so that the enterprise evolves to meet the ever-changing demands of the domain. Effective application governance helps the State identify and understand changes in policy and proactively deliver application advancement. Simple disposition strategies rationalize and prioritize innovation options for release management. Clear yet flexible action plans allow the organization to achieve results more efficiently.
NFR-OM-007	Operations and Maintenance	Continuous Improvement Processes	Implement Corrective Action Plans	The contractor shall develop Corrective Action Plans (CAP) for each of the issues identified. The CAP must be published to HCFA for approval. All CAP plans must consider cross functional dependencies.		Supported	C.12.2	We agree as requested by the State. Deloitte will develop a CAP to address identified issues.
NFR-OM-008	Operations and Maintenance	Continuous Improvement Processes	Implement Corrective Action Plans	The contractor shall develop and manage a procedure for tracking and validating the implementation of the CAP.		Supported	C.12.2	We agree that the CAP submitted by Deloitte will go through a review process. The CAP can be changed by request by the State. Upon formal approval of the CAP by the RPC, Deloitte will implement the CAP. We also agree that the State may request additional changes to an approved CAP. As with any other defect fix or change being implemented, Deloitte will follow the same testing and validation approach to help ensure the stability of TEDS. Once implemented, the CAP will be validated and the results will be reviewed with the State. The CAP will be considered closed upon written communication from the State of satisfactory results.



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes	
NFR-OM-009	Operations and Maintenance	Continuous Improvement Processes	Key Performance Indicators	<p>The contractor shall track and monitor metrics through reports on a frequency agreed upon with the State for:</p> <ul style="list-style-type: none"> - % of success of regular audits of the ITSC plans to ensure that, at all times, the agreed recovery requirements of the business can be achieved - % overall risk and impact of possible failure of IT services - % of business processes which are covered by explicit service continuity targets - Disaster preparedness gaps - Duration from the identification of a disaster-related risk to the implementation of a suitable continuity mechanism - Number of disaster practices carried out - Number of identified deficiencies during disaster tests, practices, and exercises - Number of errors found in an audit of the information in lists of key people, their responsibilities and contact details 		Supported	C.12.2	<p>Our analysis and assessments include operational reports for KPIs related to the solution (e.g., system availability, page load times) and the business (error rates, application processing time, etc.). This data and our analysis will be used to proactively highlight areas of improvement as well as developing plans to react accordingly. We will work with the State to include the following metrics:</p> <ul style="list-style-type: none"> • Percent of success of regular audits of the ITSC plans to ensure that, at all times, the agreed recovery requirements of the business can be achieved • Percent overall risk and impact of possible failure of IT services • Percent of business processes which are covered by explicit service continuity targets • Disaster preparedness gaps • Duration from the identification of a disaster-related risk to the implementation of a suitable continuity mechanism • Number of disaster practices carried out • Number of identified deficiencies during disaster tests, practices, and exercises • Number of errors found in an audit of the information in lists of key people, their responsibilities, and contact details.
NFR-OM-010	Operations and Maintenance	Service Level Management	Define Service Level Requirements	<p>The contractor shall assist HCFA in defining new SLAs for services which were not defined within the original RFQ, or revising defined SLAs to the appropriate level to meet service requirements.</p>		Supported	C.12.3	<p>Deloitte approach to service level management is an iterative process that aligns with our fundamental drive for continuous improvement. As depicted in figure C.12-3. -Service Level Management Process, it starts with the establishment of a Service Level Agreement (SLA) and objectives, as agreed upon between the State and Deloitte. Once agreed upon SLAs have been established, Deloitte will manage and be accountable for the SLAs and will diligently monitor and accurately report to the State on those service levels</p>



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-011	Operations and Maintenance	Service Level Management	Create SLAs/OLAs/Contracts	The contractor shall be responsible for agreeing to / negotiating service level agreements and developing and/or revising service levels for future service.		Supported	C.12.3	Deloitte approach to service level management is an iterative process that aligns with our fundamental drive for continuous improvement. As depicted in figure C.12-3. -Service Level Management Process, it starts with the establishment of a Service Level Agreement (SLA) and objectives, as agreed upon between the State and Deloitte. Once agreed upon SLAs have been established, Deloitte will manage and be accountable for the SLAs and will diligently monitor and accurately report to the State on those service levels
NFR-OM-012	Operations and Maintenance	Service Level Management	Create SLAs/OLAs/Contracts	The contractor shall formally agree to all Service Levels defined within the TEDS RFQ, in the event that the contractor does not agree, HCFA and the contractor shall negotiate the SLA to a mutual agreement.		Supported	C.12.3	As part of the reviews, Deloitte will help the State identify areas of improvement and provide recommendations on improving service levels. We will collaborate with the State to continuously revise the service levels based on the anticipated growth and changes to the system. We also agree that SLAs may be modified solely at the State's discretion.
NFR-OM-013	Operations and Maintenance	Service Level Management	Monitor and Report on Service Levels	The contractor shall produce and manage a formal process for ongoing review and revision of the service levels between the State, contractor and TAS. The process shall be submitted to HCFA for approval.		Supported	C.12.3	Formal Process for SLA Management - Deloitte has proven experience in managing mature service level processes in other public sector projects. Within 30 calendar days of contract start, we will provide a detailed formal process for ongoing review and revision of the SLAs between the State, Deloitte and other State Contractors. The formal process will include timelines for reporting data to the State and periodic reviews.
NFR-OM-014	Operations and Maintenance	Service Level Management	Monitor and Report on Service Levels	The contractor shall monitor performance against SLAs approved by HCFA. Reporting and monitoring of SLAs must be accurate and provide data that provides HCFA a complete view of the performance for each service. Reports must be published to HCFA.		Supported	C.12.3	Formal Process for SLA Management. Deloitte has proven experience in managing mature service level processes in other public sector projects. Within 30 calendar days of contract start, we will provide a detailed formal process for ongoing review and revision of the SLAs between the State, Deloitte and other State contractors. The formal process will include timelines for reporting data to the State and periodic reviews.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-015	Operations and Maintenance	Service Level Management	Perform Service Level Reviews	The contractor shall perform periodic reviews, on a cadence defined by HCFA, of SLAs and performance against them to ensure HCFA is satisfied with the level of performance. The contractor must produce and publish to HCFA formal reports of the periodic review findings.		Supported	C.12.3	Monitor and Report on SLAs. As part of the formal process approved by the State, Deloitte will monitor the system's performance against the established SLAs. We will timely and accurately report data in a manner that gives the State a complete view of the system's performance against each service. Periodic Review of SLAs. On the schedule approved by the State, Deloitte will participate and assist the State in periodic reviews of the SLAs based on the formal reports we produce. We will provide a formal report of findings and recommendations to help ensure the agreed upon level of performance is achieved and sustained.
NFR-OM-016	Operations and Maintenance	Service Level Management	Key Performance Indicators	The contractor shall track and monitor metrics through reports on a frequency agreed upon with the State for: – # and severity of SLA breaches – Percentage in SLA targets threatened – Percentage in SLA breaches caused because of third-parties – Percentage in SLA breaches caused because of internal OLAs		Supported	C.12.3	As part of the reviews, Deloitte will help the State identify areas of improvement and provide recommendations on improving service levels. We will collaborate with the State to continuously revise the service levels based on the anticipated growth and changes to the system. We also agree that SLAs may be modified solely at the State's discretion.
NFR-OM-017	Operations and Maintenance	Service Portfolio and Service Catalog Management	Service Portfolio and Service Catalogue Compliance and Alignment	If and when HCFA develops a Service Portfolio and Service Catalogue capability, the contractor shall provide the relevant input to HCFA and other third party service providers on an as-needed basis.		Supported	C.12.4	Deloitte will provide the necessary support for integrating TEDS related services into the State's existing Service Portfolio and Service Catalog. Our services portfolio and catalog is designed in a way that is easy to use and leverage for integrating with a broader portfolio and catalog. From our widespread and in-depth experience and knowledge with implementing and maintaining systems of such scale, we will also provide our inputs to the State and other State contractor service providers as needed for service portfolio and catalog management.



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes	
NFR-OM-018	Operations and Maintenance	Service Portfolio and Service Catalog Management	Key Performance Indicators	<p>The contractor shall track and monitor metrics through reports on a frequency agreed upon with the State for:</p> <ul style="list-style-type: none"> - Current capacity consumption against plan - Projected capacity needs moving forward - # of capacity related alerts received by service desk - # of capacity related incidents identified and resolved before any production impact - # of applications supported - # of CI's under-utilized divided by total number of CI's supported - % of SLA breaches due to either poor service performance or poor component performance - Variance of actual vs. forecasted spend for each solution, with observations and justification regarding the variance - # of capacity related adjustments due to demand - % of components that are under capacity monitoring 		Supported	C.12.4	<p>As required by State, Deloitte will track and monitor metrics through reports on an agreed upon frequency. These status reports will be maintained in an easily accessible place and will cover the following metrics:</p> <ul style="list-style-type: none"> • Current capacity consumption against plan • Projected capacity needs moving forward • Number of capacity related alerts received by service desk • Number of capacity related incidents identified and resolved before any production impact • Number of applications supported • Number of CI's under-utilized divided by total number of CI's supported • Percent of SLA breaches due to either poor service performance or poor component performance • Variance of actual vs. forecasted spend for each solution, with observations and justification regarding the variance • Number of capacity related adjustments due to demand • Percent of components that are under capacity monitoring
NFR-OM-019	Operations and Maintenance	Technology Capacity and Performance Management	Monitor, Analyze, Tune & Implement	<p>The contractor shall draft requirements for planning, managing, and reporting System Capacity in coordination with HCFA Business and IS leadership.</p>		Supported	C.12.5	<p>Deloitte's approach to monitoring, tuning and implementing of technology capacity and performance management is based on our EVD Methodology. We use an iterative approach to capacity planning and the development of a capacity model where the first iteration establishes high level estimates based on the RFP and our past experience, and each successive assessment builds upon the previous one, to further refine and enhance the estimates including additional data points to the capacity model.</p>



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-020	Operations and Maintenance	Technology Capacity and Performance Management	Monitor, Analyze, Tune & Implement	The contractor shall develop a System Capacity Plan which details the requirements for planning, managing, and reporting System Capacity.		Supported	C.12.5	Deloitte calculates and develops the capacity model by collecting a set of core statistics for each of the identified areas of capacity planning. The statistics for integrated eligibility business functions include the approximate number of cases, sites, employees, etc. We integrate the eligibility data, test data, and information gathered from discussions with the State to determine which statistic(s) would create a capacity model. Once this model is created, it is then reviewed with stakeholders for additional input and discussion.
NFR-OM-021	Operations and Maintenance	Technology Capacity and Performance Management	Monitor, Analyze, Tune & Implement	The contractor shall determine the performance drivers for performance management and their impacts on systems developed.		Supported	C.12.5	Deloitte's capacity model allows for dynamic recalculation of the estimates based on changing parameters. The model can also be used to modify parameters in order to predict the effects of changes in the expected number of cases, offices, employees, etc. The model gives immediate results concerning storage requirements.
NFR-OM-022	Operations and Maintenance	Technology Capacity and Performance Management	Monitor, Analyze, Tune & Implement	The contractor shall agree with HCFA upon minimum levels of capacity the system must provide, based on consumer demand.		Supported	C.12.5	Deloitte will work with State business and IS leadership to draft requirements for planning, managing, and reporting system capacity and build that into the system Capacity Plan. We will also work with the State to draft component capacity expectations and determine performance drivers for performance management and their system impacts, and estimate required number of resources to support change in existing and newly identified service levels. System capacity levels needed will be agreed upon with the State and will be put forth for State approval.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-023	Operations and Maintenance	Technology Capacity and Performance Management	Monitor, Analyze, Tune & Implement	The contractor shall agree with HCFA on a maximum response time, maximum processing time for each request, and minimum number of requests that can be processed in a given period of time.		Supported	C.12.5	Our approach to monitoring and managing system response time, processing time for each request, and processing throughput includes the following activities: <ul style="list-style-type: none"> • Monitor performance and availability of web service components and applications, including dependencies among services • Analyze and manage application volumes • View and manage response times, call volumes, and errors in real time • Generate synthetic transactions to monitor performance around the clock and detect issues early • Measure transaction response times across service nodes and manage bottlenecks • Identify and isolate problems to the service, application, or back-end • Diagnose the root cause by viewing impact analysis data and remediate issues • Validate and manage transaction receipt and response • Assess and proactively manage network latency Deloitte will meet the State's requirements for maximum response time, maximum processing time for each request, and minimum throughput for requests processed over time as set out in Attachment 2.
NFR-OM-024	Operations and Maintenance	Technology Capacity and Performance Management	Monitor, Analyze, Tune & Implement	The contractor shall draft capacity expectations for each system component.		Supported	C.12.5	Deloitte's capacity model allows for dynamic recalculation of the estimates based on changing parameters. The model can also be used to modify parameters in order to predict the effects of changes in the expected number of cases, offices, employees, etc. The model gives immediate results concerning storage requirements.
NFR-OM-025	Operations and Maintenance	Technology Capacity and Performance Management	Monitor, Analyze, Tune & Implement	The contractor shall monitor application and infrastructure performance 24/7/365 and perform ongoing load balancing and proactive management of systems to ensure sufficient capacity and application availability.		Supported	C.12.5	Deloitte will use technology management methods to centrally manage system resources employed by TEDS. Our approach enables efficient management and optimized use of tools and IT resources to monitor ongoing load balancing and proactive capacity and availability management around the clock-24/7/365.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-026	Operations and Maintenance	Technology Capacity and Performance Management	Monitor, Analyze, Tune & Implement	The contractor shall leverage leading tools for the monitoring, analysis and tuning of capacity and performance, which may include new or emerging technologies. Tools and technologies shall be properly vetted and approved by HCFA.		Supported	C.12.5	TEDS includes a multi-tiered monitoring and reporting framework supported by market leading tools for complete and consistent monitoring, analysis, and tuning of software and hardware system components. The framework uses messaging standards and technologies to deliver a monitoring solution for each abstraction layer of the system architecture. All tools and technologies will be vetted and approved by the State. Deloitte will work with the State to provide relevant State employees with direct access to these tools.
NFR-OM-027	Operations and Maintenance	Technology Capacity and Performance Management	Manage Demand	The contractor shall forecast future capacity needs based on industry leading practices to project future demand while enhancing technologies to meet demand.		Supported	C.12.5	Deloitte's approach to capacity and demand management revolves around developing capacity plans to estimate, measure, and forecast expected resource impact on the servers, network, database, and other parts of the infrastructure which support application processing. This information is used to determine the infrastructure and hardware requirements necessary to support anticipated transaction volume. Using those requirements, we can strategically plan for infrastructure needs and future growth.
NFR-OM-028	Operations and Maintenance	Technology Capacity and Performance Management	Manage Demand	The contractor shall ensure technologies are adequately configured to meet the forecasted peak demands and establish thresholds which will trigger appropriate corrective action.		Supported	C.12.5	Our approach to capacity and demand management estimates infrastructure resource requirements based on the estimate of actual work, including expected transaction growth that the application expects to serve during normal and peak usage periods.
NFR-OM-029	Operations and Maintenance	Technology Capacity and Performance Management	Manage Demand	The contractor shall map applications and infrastructure to business processes and related demand, to measure capacity requests and consumption.		Supported	C.12.5	Our approach to capacity and demand management estimates infrastructure resource requirements based on the estimate of actual work, including expected transaction growth that the application expects to serve during normal and peak usage periods.



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-030	Operations and Maintenance	Technology Capacity and Performance Management	Manage Demand	The contractor shall include cost benefit analysis as a component of the solution recommendation to HCFA IS.		Supported	<p>Capacity and demand management are approached during various phases of the software development life cycle. With each advancing stage, the application team has the ability to refine and improve the accuracy of the estimates. As the design and application mature, capacity estimates will be re-visited to refine the plan with the most up-to-date data available. Deloitte's approach involves capacity management at the following phases:</p> <ul style="list-style-type: none"> • An initial plan during project initiation • An updated plan after each cycle of stress testing • A final plan after performance testing is complete <p>We will use capacity planning and a capacity model to forecast future capacity needs for TEDS based on our past experience with similar systems in other states and industry standard practices. Applications and infrastructure will be mapped to business processes and related demand to measure capacity requests and consumption. We will include a cost-benefit analysis as part of our capacity and demand management solution recommendation to the State. We will use our system performance monitoring and management methodology to record, track, and adjust utilization of system resources.</p>



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-031	Operations and Maintenance	Technology Capacity and Performance Management	Manage Demand	The contractor shall record and track utilization of system resources to determine where capacity adjustments need to be made to support business processes as defined by HCFA. This shall be continually evaluated to ensure any system or environmental changes have not impacted capacity and performance.		Supported	C.12.5	Capacity and demand management are approached during various phases of the software development life cycle. With each advancing stage, the application team has the ability to refine and improve the accuracy of the estimates. As the design and application mature, capacity estimates will be re-visited to refine the plan with the most up-to-date data available. Deloitte's approach involves capacity management at the following phases: <ul style="list-style-type: none"> • An initial plan during project initiation • An updated plan after each cycle of stress testing • A final plan after performance testing is complete We will use capacity planning and a capacity model to forecast future capacity needs for TEDS based on our past experience with similar systems in other states and industry standard practices. Applications and infrastructure will be mapped to business processes and related demand to measure capacity requests and consumption. We will include a cost-benefit analysis as part of our capacity and demand management solution recommendation to the State. We will use our system performance monitoring and management methodology to record, track, and adjust utilization of system resources.



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes	
NFR-OM-032	Operations and Maintenance	Technology Capacity and Performance Management	Model & Trend	The contractor shall develop demand estimates for the TEDS solution in coordination with HCFA Business and IS leadership and adjust/report on estimates in accordance with the CIP reporting schedule.		Supported	C.12.5	<p>Deloitte's approach to capacity and demand management revolves around developing capacity plans to estimate, measure, and forecast expected resource impact on the servers, network, database, and other parts of the infrastructure which support application processing. This information is used to determine the infrastructure and hardware requirements necessary to support anticipated transaction volume. Using those requirements, we can strategically plan for infrastructure needs and future growth. The objective of this analysis is to estimate the infrastructure resource requirements based on the estimate of actual work, including expected transaction growth that the application expects to serve during normal and peak usage periods. Capacity and demand management are approached during various phases of the software development life cycle. With each advancing stage, the application team has the ability to refine and improve the accuracy of the estimates. As the design and application mature, capacity estimates will be re-visited to refine the plan with the most up-to-date data available. Deloitte's approach involves capacity management at the following phases:</p> <ul style="list-style-type: none"> • An initial plan during project initiation • An updated plan after each cycle of stress testing • A final plan after performance testing is complete
NFR-OM-033	Operations and Maintenance	Technology Capacity and Performance Management	Model & Trend	The contractor shall develop a model for capacity demand based on available HCFA data in coordination with HCFA Business and IS leadership.		Supported	C.12.5	<p>Deloitte will use capacity planning and develop a capacity model to forecast future capacity needs for TEDS based on our past experience with similar systems in other states and industry standard practices. Deloitte will develop this model based on available State data, and will work with the State Business and IS leadership on developing demand estimates for TEDS.</p>
NFR-OM-034	Operations and Maintenance	Technology Capacity and Performance Management	Model & Trend	The contractor shall test capacity demand prototype models to ensure they surpass demand estimates.		Supported	C.12.5	<p>Deloitte will use system and component capacity modeling to aid in capacity forecasting using performance characteristics of applications based on historical data, projected load, and locations. The models will be continuously updated and tested so that they surpass demand estimates.</p>



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-035	Operations and Maintenance	Technology Capacity and Performance Management	Model & Trend	The contractor shall continuously update reusable sizing and estimating models to aid in capacity forecasting that utilize performance characteristics of applications based on historical data, projected load, locations, and other factors the contractor deems appropriate.		Supported	C.12.5	Deloitte will use capacity planning and a system capacity model, based on available State data, to work with the State Business and IS leadership on developing demand estimates for TEDS. These estimates will be adjusted and reported as per the CIP reporting schedule. System and component capacity modeling will be used to aid in capacity forecasting, using performance characteristics of applications based on historical data, projected load and locations. The models will be continuously updated, and tested to ensure they surpass demand estimates.
NFR-OM-036	Operations and Maintenance	Technology Capacity and Performance Management	Perform Application Sizing	The contractor shall estimate the required number of resources needed to support change in existing service levels and newly identified services in coordination with HCFA Business and IS leadership.		Supported	C.12.5	Deloitte's approach to monitoring, tuning, and implementing of technology capacity and performance management is based on our EVD Methodology. We use an iterative approach to capacity planning and the development of a capacity model where the first iteration establishes high level estimates based on the RFQ and our past experiences. Each successive assessment builds upon the previous one, to further refine and enhance the estimates including additional data points to the capacity model. We will work with the State to draft component capacity expectations and determine performance drivers for performance management and their system impacts, and estimate required number of resources to support change in existing and newly identified service levels. System capacity levels needed will be agreed upon with the State and will be put forth for State approval.
NFR-OM-037	Operations and Maintenance	Technology Capacity and Performance Management	Plan & Optimize	The contractor shall develop a System Capacity Plan that documents the current levels of resource utilization and service performance, and forecasts the future requirements for new the TEDS resources		Supported	C.12.5	Deloitte's approach to capacity and demand management revolves around developing capacity plans to estimate, measure, and forecast expected resource impact on the servers, network, database, and other parts of the infrastructure which support application processing. This information is used to determine the infrastructure and hardware requirements necessary to support anticipated transaction volume. Using those requirements, we can strategically plan for infrastructure needs and future growth.
NFR-OM-038	Operations and Maintenance	Technology Capacity and Performance Management	Plan & Optimize	The contractor shall consult with HCFA on the service strategy plans for the TEDS solution.		Supported	C.12.5	Deloitte will use component capacity planning and models to work with State IS leadership in forecasting future requirements for new resources to support IT services for business activities. We will work with the State on service strategy plans for TEDS and will provide recommendations on resources required, costs, benefits, impacts, and other areas as per our knowledge base and past experience.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-039	Operations and Maintenance	Technology Capacity and Performance Management	Plan & Optimize	The contractor shall forecast future requirements for new resources in coordination with HCFA IS leadership to support IT services that underpin the business activities.		Supported	C.12.5	Deloitte will use component capacity planning and models to work with State IS leadership in forecasting future requirements for new resources to support IT services for business activities. We will work with the State on service strategy plans for TEDS and will provide recommendations on resources required, costs, benefits, impacts, and other areas as per our knowledge base and past experience.
NFR-OM-040	Operations and Maintenance	Technology Capacity and Performance Management	Plan & Optimize	The contractor shall provide recommendations on resources required, costs, benefits, impacts, and other areas the contractor or HCFA deem appropriate.		Supported	C.12.5	Deloitte will use component capacity planning and models to work with State IS leadership in forecasting future requirements for new resources to support IT services for business activities. We will work with the State on service strategy plans for TEDS and will provide recommendations on resources required, costs, benefits, impacts, and other areas as per our knowledge base and past experience.
NFR-OM-041	Operations and Maintenance	Technology Capacity and Performance Management	Plan & Optimize	The contractor shall provide a non-disruptive implementation plan for the recommended solution and follow the HCFA IS protocol for solution implementation and change control.		Supported	C.12.5	Deloitte will use capacity planning and a system capacity model, based on available State data, to work with the State Business and IS leadership on developing demand estimates for TEDS. These estimates will be adjusted and reported as per the CIP reporting schedule. System and component capacity modeling will be used to aid in capacity forecasting, using performance characteristics of applications based on historical data, projected load, and locations. The models will be continuously updated and tested so that they surpass demand estimates. Our plan will follow the HCFA IS approach for solution implementation and change control and will be non-disruptive in nature.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-042	Operations and Maintenance	Technology Capacity and Performance Management	Key Performance Indicators	<p>The contractor shall track and monitor metrics through reports on a frequency agreed upon with the State for:</p> <ul style="list-style-type: none"> - Current capacity consumption against plan - Projected capacity needs moving forward - # of capacity related alerts received by service desk - # of capacity related incidents identified and resolved before any production impact - # of applications supported - # of CI's under-utilized divided by total number of CI's supported - % of SLA breaches due to either poor service performance or poor component performance - Variance of actual vs. forecasted spend for each solution, with observations and justification regarding the variance - # of capacity related adjustments due to demand - % of components that are under capacity monitoring 		Supported	C.12.5	<p>Deloitte will collaborate with the State to establish status reports, reporting criteria, and frequency to track and monitor the following metrics:</p> <ul style="list-style-type: none"> • Current capacity consumption against plan • Projected capacity needs moving forward • Number of capacity related alerts received by service desk • Number of capacity related incidents identified and resolved before any production impact • Number of applications supported • Number of CI's under-utilized divided by total number of CI's supported • Percent of SLA breaches due to either poor service performance or poor component performance • Variance of actual vs. forecasted spend for each solution, with observations and variance justification • Number of capacity related adjustments due to demand • Percent of components that are under capacity monitoring
NFR-OM-043	Operations and Maintenance	Availability Management	Plan & Design for Availability	<p>The contractor shall draft requirements for system availability in coordination with HCFA Business and IS leadership.</p>		Supported	C.12.6	<p>Deloitte will draft detailed requirements for system availability in coordination with State business and IS leadership, centered on the three main principles of high availability engineering: elimination of single points of failure by adding redundancy to the system, reliable crossover, and detection of failures as they occur</p>
NFR-OM-044	Operations and Maintenance	Availability Management	Plan & Design for Availability	<p>The contractor shall develop a Program System Performance and Availability Management Plan that outlines performance and availability creation and management processes.</p>		Supported	C.12.6	<p>Deloitte will develop a Performance and Availability Management Plan following high availability practices, such as data backups, recovery and replication, clustering, network balancing, fail over solutions, geographic redundancy, and mitigation plans for failures. We will use the Performance and Availability Management Plan to define, analyze, plan, measure and improve all aspects of TEDS's availability, outlining performance and availability creation, management processes and meet the requirements outlined in Contract Attachment 2</p>



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-045	Operations and Maintenance	Availability Management	Plan & Design for Availability	The contractor shall coordinate with HCFA and third party providers to determine targets for availability, reliability, and maintainability for IT infrastructure components.		Supported	C.12.6	Deloitte will work with the State to determine the target levels for availability, reliability, and maintainability of corresponding IT infrastructure components, and also collaborating with the State to schedule downtimes required for the proper execution of maintenance activities
NFR-OM-046	Operations and Maintenance	Availability Management	Plan & Design for Availability	The contractor shall agree with HCFA upon minimum target levels for availability, reliability, and maintainability of IT infrastructure components.		Supported	C.12.6	Deloitte will meet the State's target levels for availability, reliability, and maintainability of corresponding IT infrastructure components, collaborating with the State to schedule downtimes required for the proper execution of maintenance activities
NFR-OM-047	Operations and Maintenance	Availability Management	Perform Risk Assessment	The contractor shall perform regular availability risk assessments to identify and quantify risks and countermeasures to protect the availability of IT systems.		Supported	C.12.6	Deloitte will follow a well-defined process to identify potential risks affecting the availability and reliability of the system and analyze what could happen if such risks realizes. We will also perform a business impact analysis to determine the potential outcomes from such an interruption of the State's time sensitive and critical business processes. We will perform regular availability risk assessments to identify and quantify risks and countermeasures to protect TEDS's high availability.
NFR-OM-048	Operations and Maintenance	Availability Management	Implement Countermeasures	The contractor shall develop appropriate controls and countermeasures to improve the availability and resilience of the TEDS services and underlying IT components.		Supported	C.12.6	Deloitte will review the results of our risk assessment with the State to assess each risk based on probability and impact. Based on the State's priorities, Deloitte will define and develop appropriate controls and countermeasures to improve the availability and resilience of TEDS services and underlying IT components. Automated monitoring and notification solutions can be added, single points of failure can be mitigated and operational procedures can be augmented where automation is not an option.
NFR-OM-049	Operations and Maintenance	Availability Management	Test Availability & Resilience Mechanisms	The contractor shall perform periodic availability mechanism tests to ensure that availability and resiliency mechanisms designed to provision services are operating effectively.		Supported	C.12.6	In accordance with our Performance and Availability Management Plan, Deloitte will perform periodic availability mechanism tests as defined by the State to track the availability and resiliency mechanisms designed to provision services are operating effectively. We will perform test planning, test reuse, test design, test implementation, test execution, and test reporting where we will share availability testing results with the State. The test results report will detail the testing performed, the results obtained, and the recommended next steps.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-050	Operations and Maintenance	Availability Management	Test Availability & Resilience Mechanisms	The contractor shall inform the HCFA Control Owner and the Internal Audit function of audit findings observed during periodic audits.		Supported	C.12.6	Deloitte will review the results of our risk assessment with the State to assess each risk based on probability and impact. Based on the State's priorities, Deloitte will define and develop appropriate controls and countermeasures to improve the availability and resilience of TEDS services and underlying IT components. Automated monitoring and notification solutions can be added, single points of failure can be mitigated and operational procedures can be augmented where automation is not an option. Deloitte will assist and participate in periodic audits and inform the HCFA Control Owner and Internal Audit functions of any audit findings.
NFR-OM-051	Operations and Maintenance	Availability Management	Test Availability & Resilience Mechanisms	The contractor shall publish Availability & Resilience test results report and ensure that they are available to HCFA Business and IS leadership.		Supported	C.12.6	In accordance with our Performance and Availability Management Plan, Deloitte will perform periodic availability mechanism tests as defined by the State to track the availability and resiliency mechanisms designed to provision services are operating effectively. We will perform test planning, test reuse, test design, test implementation, test execution, and test reporting where we will share availability testing results with the State. The test results report will detail the testing performed, the results obtained, and the recommended next steps.
NFR-OM-052	Operations and Maintenance	Availability Management	Monitor, Measure, Analyze, & Report Availability	The contractor shall leverage existing HCFA tools where available		Supported	C.12.6	Deloitte will perform a number of system monitoring activities around availability, reliability, and performance. We will monitor TEDS availability to measure that the system abides by the high availability targets set by the State. Availability reports will document, track, and maintain all availability and performance analysis results conducted on the solution. Results will be published to stakeholders to foster transparency and service level tracking. Deloitte will leverage existing State and STS monitoring tools where available and provide access to the underlying data to create the reports to the State for review during periodic service level review meetings.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-053	Operations and Maintenance	Availability Management	Monitor, Measure, Analyze, & Report Availability	The contractor shall develop availability reports to document and maintain all availability and performance analysis results conducted on the system.		Supported	C.12.6	<p>Deloitte will perform a number of system monitoring activities around availability, reliability, and performance. We will monitor TEDS availability to measure that the system abides by the high availability targets set by the State. Availability reports will document, track, and maintain all availability and performance analysis results conducted on the solution. We will collaborate with the State to design the criteria and frequency for the availability reports and include the following metrics:</p> <ul style="list-style-type: none"> • Percent availability of the overall TEDS solution • Percent availability of specific TEDS services • Percent availability of TEDS individual systems • Percent reduction in the unavailability of services and components • Percent increase in the reliability of services and components • Percent improvement in overall end-to-end availability of service • Percent reduction in the number and impact of service breaks
NFR-OM-054	Operations and Maintenance	Availability Management	Monitor, Measure, Analyze, & Report Availability	The contractor shall provide availability reports to HCFA for review during periodic service level review meetings.		Supported	C.12.6	Deloitte will publish the results to stakeholders to foster transparency and service level tracking. Deloitte will leverage existing State and STS monitoring tools where available, and provide access to the underlying data to create the reports to the State for review during periodic service level review meetings.
NFR-OM-055	Operations and Maintenance	Availability Management	Monitor, Measure, Analyze, & Report Availability	The contractor shall conduct ongoing availability and performance analysis on the system which includes monitoring the availability 24/7/365.		Supported	C.12.6	Deloitte will perform ongoing monitoring on system activities around availability, reliability and performance with 24/7/365 coverage with planned exceptions for scheduled downtimes to support maintenance activities and go-lives



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-056	Operations and Maintenance	Availability Management	Key Performance Indicators	<p>The contractor shall track and monitor metrics through reports on a frequency agreed upon with the State for:</p> <ul style="list-style-type: none"> - % availability of the overall the TEDS solution - % availability of specific the TEDS services - % availability of the TEDS individual systems - % reduction in the unavailability of services and components - % increase in the reliability of services and components - % improvement in overall end-to-end availability of service - % reduction in the number and impact of service breaks 		Supported	C.12.6	<p>Deloitte will perform a number of system monitoring activities around availability, reliability, and performance. We will monitor TEDS availability to measure that the system abides by the high availability targets set by the State. Availability reports will document, track, and maintain all availability and performance analysis results conducted on the solution. We will collaborate with the State to design the criteria and frequency for the availability reports and include the following metrics:</p> <ul style="list-style-type: none"> • Percent availability of the overall TEDS solution • Percent availability of specific TEDS services • Percent availability of TEDS individual systems • Percent reduction in the unavailability of services and components • Percent increase in the reliability of services and components • Percent improvement in overall end-to-end availability of service • Percent reduction in the number and impact of service breaks
NFR-OM-057	Operations and Maintenance	IT Service Continuity	Initiate ITSC	The contractor shall draft requirements for IT Service Continuity in coordination with HCFA Business and IS leadership.		Supported	C.12.7	After performing an analysis, Deloitte will draft requirements for IT Service Continuity in coordination with State Business and IT leadership. Please refer to Strategize phase in figure C.12-5. BCM Methodology for more details.
NFR-OM-058	Operations and Maintenance	IT Service Continuity	Initiate ITSC	The contractor shall develop an Integrated Business Continuity/Disaster Recovery Plan (BC/DR), consistent with NIST 800-34 Rev 1 and CMS control standards including MARS-E 2.0 Contingency Planning control family that outline BC/DR capabilities.		Supported	C.12.7	Upon approval of a strategy by the State, Deloitte will develop a BC/DR plan that is compliant with the HCFA BC/DR Management Plan and CMS Contingency Planning Guidance. Please refer to Planning phase in figure C.12-5. BCM Methodology for more details.
NFR-OM-059	Operations and Maintenance	IT Service Continuity	Initiate ITSC	The contractor shall develop BC/DR policies and procedures in coordination with HCFA leadership.		Supported	C.12.7	As part of our phased approach to develop the BC/DR plan, Deloitte will work with the State to understand State policies and procedures and align them with our BC/DR plan.
NFR-OM-060	Operations and Maintenance	IT Service Continuity	Initiate ITSC	The contractor shall draft BC/DR guidelines in compliances with State policies and expectations		Supported	C.12.7	In coordination with the State leadership, our BC/DR plan will include policies, procedures, and guidelines with respect to BC/DR, in compliance with State policies and expectations. Please refer to Planning phase in figure C.12-5. BCM Methodology for more details.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-061	Operations and Maintenance	IT Service Continuity	Initiate ITSC	The contractor shall draft an Implementation and Deployment Plan that involves vm and volume snapshots.		Supported	C.12.7	Deloitte's Business Continuity/Disaster Recovery plan will include a detailed backup strategy and implementation plan that will describe a multiple backup strategy for software and data, and version control processes and procedures. Our deployment plan also involves vm and volume snapshots.
NFR-OM-062	Operations and Maintenance	IT Service Continuity	Initiate ITSC	The contractor shall develop multiple backup approach strategy. Backups by using backup software. Backups from storage systems using snapshot technologies.		Supported	C.12.7	Deloitte's Business Continuity/Disaster Recovery plan will include a detailed backup strategy and implementation plan that will describe a multiple backup strategy for software and data, and version control processes and procedures.
NFR-OM-063	Operations and Maintenance	IT Service Continuity	Initiate ITSC	The contractor shall have a designated BC/DR representative.		Supported	C.12.7	Deloitte will train both Deloitte's staff and State personnel on the processes and procedures of BC/DR plan as well as of the implications of business and service continuity. Our Staff will consider BC/DR procedures as normal work activities. For the readiness of our staff and State personnel involved in BCDR procedures, we will provide periodic training sessions and a dedicated BC/DR representative.
NFR-OM-064	Operations and Maintenance	IT Service Continuity	Initiate ITSC	The contractor will build and maintain a Standard Operating Procedure Manual (SOP) The manual will be indexed, with separate chapters (sections) for each area of O&M) and kept available to State staff. The State may require an SOP be written for specific system support functions. *** This would be customized for each section to identify the chapter in an SOP manual.		Supported	C.12.1	For the continuous stability of a system of this scale, a consistent approach to Operations and Maintenance (O&M) is essential. To attain this, Deloitte establishes and follows standard procedures and processes. For TEDS, Deloitte will leverage NextGen's proven Standard Operating Procedure (SOP) manual, which includes operating procedures and protocols for each of the standard capabilities associated with O&M. We will work with the State, on an ongoing basis, to customize and optimize it for TEDS. We agree that the State may require an SOP to be written for specific system support functions. Deloitte will adhere to the processes set forth in the SOP and provide the tools necessary to execute these capabilities.
NFR-OM-065	Operations and Maintenance	IT Service Continuity	Initiate ITSC	The contractor will develop, maintain, and implement complete version for control processes and procedures. The contractor will provide any / all tools necessary to fulfil the obligations of this contract.		Supported	C.12.7	Deloitte will develop, maintain, and implement version control processes and procedures and Deloitte will provide the tools necessary to perform these operations.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-066	Operations and Maintenance	IT Service Continuity	Define ITSC Requirements & Strategy	The contractor shall perform a Business Impact Analysis (BIA) to quantify the impact of a loss of service to HCFA.		Supported	C.12.7	As part of the Analysis phase of Deloitte's Business Continuity Planning methodology - BETH3, Deloitte will perform a BIA to quantify the impact of a loss of service to the State. This analysis shall be presented to the State to help them make a decision on a strategy for the BC/DR of TEDS.
NFR-OM-067	Operations and Maintenance	IT Service Continuity	Define ITSC Requirements & Strategy	The contractor shall perform Risk Assessments in to determine areas that can be mitigated by IT and to define levels of acceptable risks to the organization.		Supported	C.12.7	As part of our strategy options for the State, we will perform and present risk assessments to recommend the best strategy for the BC/DR for TEDS. We will take into consideration the acceptable level of risk to the State and recommend an option that is an optimum balance of risk and cost. We will collaborate with the State to support their decision making process.
NFR-OM-068	Operations and Maintenance	IT Service Continuity	Define ITSC Requirements & Strategy	The contractor shall develop ITSC strategies in coordination with HCFA leadership to achieve optimum balance of risk reduction and disaster recovery and continuity options based on the results of BIAs and Risk Assessments.		Supported	C.12.7	As part of our strategy options for the State, we will perform and present risk assessments to recommend the best strategy for the BC/DR for TEDS. We will take into consideration the acceptable level of risk to the State and recommend an option that is an optimum balance of risk and cost. We will collaborate with the State to support their decision making process.
NFR-OM-069	Operations and Maintenance	IT Service Continuity	Define ITSC Requirements & Strategy	The contractor shall maintain an inventory of critical system applications and processes.		Supported	C.12.7	Deloitte's Business Continuity/Disaster Recovery plan will contain an inventory of TEDS's critical system applications and processes.
NFR-OM-070	Operations and Maintenance	IT Service Continuity	Implement ITSC	The contractor shall ensure that all required services, facilities and resources are delivered in an acceptable operational state and are 'fit for purpose' when accepted by the business.		Supported	C12.7	Deloitte will work with the State to deliver the required services, facilities, and resources in an acceptable operational state and are 'fit for purpose' when accepted by the business.
NFR-OM-071	Operations and Maintenance	IT Service Continuity	Implement ITSC	The contractor shall perform service continuity procedures as defined in the BC/DR plan in the event of a disaster.		Supported	C.12.7	In the event of a disaster, Deloitte will follow the processes and procedures from the approved BC/DR plan.
NFR-OM-072	Operations and Maintenance	IT Service Continuity	Implement ITSC	The contractor shall participate in enterprise BC/DR testing initiated by HCFA.		Supported	C.12.7	Deloitte will support and participate in BC/DR testing initiated by the State and/or STS.
NFR-OM-073	Operations and Maintenance	IT Service Continuity	Perform ITSC On-Going Operations	The contractor shall ensure that all vendor staff are aware of the implication of business continuity and of service continuity and consider these as part of their normal working activities.		Supported	C.12.7	Deloitte will train both Deloitte's staff and State personnel on the processes and procedures of BC/DR plan as well as of the implications of business and service continuity. Our Staff will consider BC/DR procedures as normal work activities. For the readiness of our staff and State personnel involved in BCDR procedures, we will provide periodic training sessions and a dedicated BCDR representative.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-074	Operations and Maintenance	IT Service Continuity	Perform ITSC On-Going Operations	The contractor shall train all HCFA, State and vendor personnel involved in BC/DR procedures.		Supported	C.12.7	To ensure the readiness of our staff and State personnel involved in BC/DR procedures, Deloitte will provide periodic training sessions.
NFR-OM-075	Operations and Maintenance	IT Service Continuity	Perform ITSC On-Going Operations	The contractor shall develop and establish a program of regular testing to ensure critical components of the ITSC strategy can be recovered within the desired Recovery Time Objective		Supported	C.12.7	Deloitte's BC/DR plan will include regular DR testing plans that will be conducted at least twice a year to ascertain that critical components of the BC/DR strategies can be recovered within the desired Recovery Time Objective. Our BC/DR plan includes twice-yearly table-top tests, quarterly selected critical component testing, and yearly technical cut over tests, at a minimum.
NFR-OM-076	Operations and Maintenance	IT Service Continuity	Perform ITSC On-Going Operations	The contractor shall ensure that all changes are assessed for potential impact on ITSC plans.		Supported	C.12.7	Deloitte will monitor and assess changes that could affect the BC/DR plan such as changes implemented in TEDS or other systems TEDS interacts with, change in policy and business processes, and IT changes. Deloitte will collaborate with all TEDS stakeholders to keep the BCDR plan up to date.
NFR-OM-077	Operations and Maintenance	IT Service Continuity	Perform ITSC On-Going Operations	<p>The contractor shall develop Business Continuity and Disaster reports to document and maintain BC/DR test results on a quarterly basis. This report shall include the following detail:</p> <p>A) IT Service Continuity Management Plan B) Business Impact Analysis Plan C) Risk Analysis and Management exercises reports D) Notes providing continuity advice and guidance E) Assessed Request for Changes relating to continuity aspects F) Schedule of tests for resilient and fail-over components</p>		Supported	C.12.7	<p>As part of the process, on a quarterly basis, Deloitte will prepare and produce reports on the DR test results. We will collaborate with the State to track and monitor through reports on a frequency agreed upon with the State for the following metrics:</p> <ul style="list-style-type: none"> • Percent of success of regular audits of the ITSC plans to ensure that the agreed recovery requirements of the business can be achieved at all times • Percent overall risk and impact of possible failure of IT services • Percent of business processes covered by explicit service continuity targets • Disaster preparedness gaps • Duration from the identification of a disaster-related risk to the implementation of a suitable continuity mechanism • Number of disaster practices carried out • Number of identified deficiencies during disaster tests, practices, and exercises. • Number of errors found in an audit of the information in reports of key people, their responsibilities, and contact details



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-078	Operations and Maintenance	IT Service Continuity	Perform ITSC On-Going Operations	The contractor shall provide Vendor Service Continuity and Disaster reports to HCFA for review during periodic service level review meetings.		Supported	C.12.7	As part of the process, on a quarterly basis, Deloitte will prepare and produce reports on the DR test results. We will collaborate with the State to track and monitor through reports on a frequency agreed upon with the State for the following metrics: <ul style="list-style-type: none"> • Percent of success of regular audits of the ITSC plans to ensure that the agreed recovery requirements of the business can be achieved at all times • Percent overall risk and impact of possible failure of IT services • Percent of business processes covered by explicit service continuity targets • Disaster preparedness gaps • Duration from the identification of a disaster-related risk to the implementation of a suitable continuity mechanism • Number of disaster practices carried out • Number of identified deficiencies during disaster tests, practices, and exercises. • Number of errors found in an audit of the information in reports of key people, their responsibilities, and contact details
NFR-OM-079	Operations and Maintenance	IT Service Continuity	Perform ITSC On-Going Operations	The contractor shall develop a backup job and server audit.		Supported	C.12.7	Deloitte's BC/DR plan also includes a backup job and server audit. Our strategy also takes into account the letter and notice processing services of TEDS and will ensure a proper backup plan is in place.
NFR-OM-080	Operations and Maintenance	IT Service Continuity	Perform ITSC On-Going Operations	The contractor shall develop and implement a testing program to include bi-annual table-top tests, quarterly selected critical component testing, and yearly technical cut over tests.		Supported	C.12.7	Our BCDR plan includes twice-yearly table top tests, quarterly selected critical component testing, and yearly technical cutover tests, at the minimum. Any gaps identified will be reported to the State along with recommendations to bridge them. As approved by the State, Deloitte will address these gaps and update the BCDR plan.
NFR-OM-081	Operations and Maintenance	IT Service Continuity	Invoke ITSC	The contractor shall perform all ITSC activities as declared by HCFA.		Supported	C.12.7.2	In the event of a disaster, Deloitte will follow the BC/DR plan approved by the State and perform all activities, processes, and procedures included. A report of the BC/DR execution shall be presented to the State for review.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-082	Operations and Maintenance	IT Service Continuity	Key Performance Indicators	<p>The contractor shall track and monitor metrics through reports on a frequency agreed upon with the State for:</p> <ul style="list-style-type: none"> - % of success of regular audits of the ITSC plans to ensure that, at all times, the agreed recovery requirements of the business can be achieved - % overall risk and impact of possible failure of IT services - % of business processes which are covered by explicit service continuity targets - Disaster preparedness gaps - Duration from the identification of a disaster-related risk to the implementation of a suitable continuity mechanism - Number of disaster practices carried out - Number of identified deficiencies during disaster tests, practices, and exercises - Number of errors found in an audit of the information in lists of key people, their responsibilities and contact details 		Supported	C.12.7	<p>As part of the process, on a quarterly basis, Deloitte will prepare and produce reports on the DR test results. We will collaborate with the State to track and monitor through reports on a frequency agreed upon with the State for the following metrics:</p> <ul style="list-style-type: none"> • Percent of success of regular audits of the ITSC plans to ensure that the agreed recovery requirements of the business can be achieved at all times • Percent overall risk and impact of possible failure of IT services • Percent of business processes covered by explicit service continuity targets • Disaster preparedness gaps • Duration from the identification of a disaster-related risk to the implementation of a suitable continuity mechanism • Number of disaster practices carried out • Number of identified deficiencies during disaster tests, practices, and exercises. • Number of errors found in an audit of the information in reports of key people, their responsibilities, and contact details
NFR-OM-083	Operations and Maintenance	Service Transition Planning and Support	Define Service Transition Strategy & Approach	<p>The contractor shall create a formalized service description and associated details when responding to business needs or proactively proposing new services</p>		Supported	C.12.8	<p>Deloitte will follow the formal Change and Request Management process to propose new services and processes or changes to existing services and processes.</p>
NFR-OM-084	Operations and Maintenance	Service Transition Planning and Support	Define Service Transition Lifecycle Stages	<p>The contractor shall complete Service Design Packages (SDP) for major new service implementations</p>		Supported	C.12.8	<p>Deloitte will complete Service Design Packages (SDP) for major new service implementations and follow through promptly to any SDP formal checks throughout the SDLC.</p>
NFR-OM-085	Operations and Maintenance	Service Transition Planning and Support	Prepare for Service Transition	<p>The contractor shall respond to any SDP formal checks throughout the SDLC</p>		Supported		<p>Deloitte will work closely with all stakeholders and maintain consistent and effective communications throughout the transition lifecycle by following our approach in C.13 (Turnover).</p>



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-086	Operations and Maintenance	Service Transition Planning and Support	Prepare for Service Transition	During the service transition lifecycle, the contractor shall maintain consistent and effective communications with all impacted stakeholders		Supported	C.12.8	Deloitte will work closely with all stakeholders and maintain consistent and effective communications throughout the transition lifecycle by following our approach in C.13 (Turnover).
NFR-OM-087	Operations and Maintenance	Service Transition Planning and Support	Plan & Coordinate Service Transition	The service shall provide a clearly defined promote-to-production process that enforces a strictly defined methodology for movement from development to quality assurance (QA) and production		Supported	C.12.8	Deloitte will provide a well-defined promote-to-production process by enforcing a strictly defined methodology by following our release deployment methodology and approach
NFR-OM-088	Operations and Maintenance	Service Transition Planning and Support	Provide Service Transition Process Support	The service shall provide a clearly defined promote-to-production process that enforces a strictly defined methodology for movement from development to quality assurance (QA) and production		Supported	C.12.8	Deloitte will provide a well-defined promote-to-production process by enforcing a strictly defined methodology by following our release deployment methodology and approach
NFR-OM-089	Operations and Maintenance	Service Transition Planning and Support	Key Performance Indicators	<p>The contractor shall track and monitor metrics through reports on a frequency agreed upon with the State for:</p> <ul style="list-style-type: none"> - % increase in the number of releases implemented that meet the customer's agreed requirements in terms of cost, quality, scope and release schedule (expressed as a percentage of all releases) - % reduction in variation of actual versus predicted scope, quality, cost and time - % reduction in number of issues, risks and delays - % increase of service transition success rates - % increase in project and service team satisfaction with the service transition practices - % reduction of number of issues caused by conflicting demands for shared resources 		Supported	C.12.8	<p>Deloitte will track and monitor the following metrics through reports to the State on an agreed upon frequency:</p> <ul style="list-style-type: none"> • Percent increase in the number of releases implemented that meet the State's agreed requirements in terms of cost, quality, scope and release schedule (expressed as a percentage of all releases) • Percent reduction in variation of actual versus predicted scope, quality, cost, and time • Percent reduction in number of issues, risks, and delays • Percent increase of service transition success rates • Percent increase in project and service team satisfaction with the service transition practices • Percent reduction of number of issues caused by conflicting demands for shared resources
NFR-OM-090	Operations and Maintenance	IT Change Management	Initiate Change Request	The contractor shall produce and enforce formal procedures to initiate and log requests for change (RFCs). RFCs shall provide data to allow the State to assess the change, including reason/cause, impacts, cost, schedule, and priority		Supported	C.12.9	Deloitte establishes definitive processes and procedures for enabling a concerned stakeholder to submit a technology change request via 'Request For Change' (RFC). An RFC has sufficient details to identify the reason, priority type of change and impacts on business in terms of cost and schedule.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-091	Operations and Maintenance	IT Change Management	Initiate Change Request	The contractor shall manage an automated Change Control Tool where changes will be logged and managed		Supported	C.12.9	Deloitte provides JIRA, an automated Change Control Tool wherein the changes are logged with the information submitted via an RFC. JIRA provides pre-configured change workflows which can be customized for the State and can be interfaced with any applicable State tools if required.
NFR-OM-092	Operations and Maintenance	IT Change Management	Initiate Change Request	The contractor shall complete a Security Impact Analysis (SIA) form and a narrative of all risks identified by the Change Request submitter with each Change Request		Supported	C.12.9	For each Change request, Deloitte team conducts a security and vulnerability assessment including qualitative and quantitative risk analysis and logs the information in JIRA.
NFR-OM-093	Operations and Maintenance	IT Change Management	Review, Assess and Authorize	The contractor shall clearly categorize changes and publish the categorization to HCFA for approval. Change types include normal changes, standard changes, and emergency changes		Supported	C.12.9	Deloitte works with the State to identify and define the different change types and the criteria for each change type based on the priority. For each change, our team performs the analysis and classifies into one of the types: normal changes, standard changes, expedited changes and emergency changes
NFR-OM-094	Operations and Maintenance	IT Change Management	Review, Assess and Authorize	The contractor shall submit a documented RFC for emergency changes within 24 hours of the change being made		Supported	C.12.9	Deloitte performs the analysis of each change according to the established and approved criteria. If a change is classified as an emergency depending on the severity and criticality of its impact on the normal system operations, our team submits an RFC for State to review and approve within 24 hours of the change being requested.
NFR-OM-095	Operations and Maintenance	IT Change Management	Review, Assess and Authorize	The contractor shall publish defined RFC naming and prioritization procedures, based on business priorities and impact determinations, to ensure HCFA clearly understands what the change is, its priority, and potential impacts		Supported	C.12.9	Deloitte will work with the State to define RFC naming conventions and prioritization procedures based on the priority and impact. These procedures tend to include a definitive criteria so that any ambiguity is removed for TCCB review.
NFR-OM-096	Operations and Maintenance	IT Change Management	Review, Assess and Authorize	The contractor shall produce and publish to HCFA policies to categorize an emergency change. These changes require the appropriate executive level approvals		Supported	C.12.9	Deloitte will collaborate with the State to establish the criteria and process for categorizing a change as emergency. We will streamline the change workflows for an emergency so that no undue delays are encountered in getting the executive level approvals.
NFR-OM-097	Operations and Maintenance	IT Change Management	Review, Assess and Authorize	The contractor shall produce and abide by the results of an automated risk calculation that will recommend if the change should be approved or denied. This calculation will be based on system risk multiplied by the magnitude of the impact		Supported	C.12.9	Deloitte utilizes a quantitative risk analysis method that calculates the risk score for a change request based on system risk and its impact on the business. We will follow this method in recommending whether a change should be implemented or not.
NFR-OM-098	Operations and Maintenance	IT Change Management	Review, Assess and Authorize	The contractor shall provide appropriate prioritization that is aligned with the business needs / requirements		Supported	C.12.9	Deloitte's established change management processes are based on prioritizing each change request based on the business needs and requirements. The process is clearly dependent on establishing a link between the technology and the business it is designed to support.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-099	Operations and Maintenance	IT Change Management	Plan & Schedule	The contractor shall produce a forward looking change schedule which accounts for all dependencies that can affect the timing of a change (e.g. year-end close activities, HCFA regulatory requirements etc.). This schedule will also articulate downstream impacts to the overall project schedule and identify any risks and potential contingency plans and workarounds as appropriate		Supported	C.12.9	Deloitte will prepare an implementation schedule after taking into account all the dependencies and the downstream impact on the overall project.
NFR-OM-100	Operations and Maintenance	IT Change Management	Plan & Schedule	The contractor shall manage the RFC schedule with defined and published lead times, based on risk and impact. All change windows must be agreed upon by HCFA. RFC schedules will follow the same SDLC process in use for the project		Supported	C.12.9	Deloitte prepares an implementation schedule after taking into account all the dependencies and the downstream impact on the overall project. Deloitte prepares and publishes an implementation schedule for any RFC based on risk and impact. We work with the state to get the schedules approved in accordance with the overall project schedule. Deloitte performs adequate risk analysis and assessments for each change control so that MARS-E requirements and CMS guidance documents are complied with. Any exceptions are documented and need to be approved by the TCCB.
NFR-OM-101	Operations and Maintenance	IT Change Management	Build & Test	The contractor shall provide test certification and other development/testing documents required by the SDLC process and that the HCFA Change Control Board requests		Supported	C.12.9	Deloitte will submit the test plan documents that are developed as part of the overall test management strategy to TCCB for review.
NFR-OM-102	Operations and Maintenance	IT Change Management	Build & Test	The testing procedures for each change shall follow the process and standards established within the Test Management Plan		Supported	C.12.9	Deloitte executes test plans and the results and exceptions are submitted to TCCB for review and approval.
NFR-OM-103	Operations and Maintenance	IT Change Management	Approve for Implementation	The contractor shall perform changes according to the agreed-upon and validated HCFA change schedule		Supported	C.12.9	Deloitte will implement the changes based on a published implementation plan and an approved schedule
NFR-OM-104	Operations and Maintenance	IT Change Management	Approve for Implementation	The contractor shall participate in the HCFA CCB meetings and provide subject matter experts as needed to answer questions prior to formal approval process		Supported	C.12.9	Deloitte team will participate in all TCCB meetings to provide any further information required by TCCB reviewers to facilitate the approval process.
NFR-OM-105	Operations and Maintenance	IT Change Management	Approve for Implementation	The contractor shall update change records within the Change Control Tool with the appropriate status changes and details about the change and communicate updates to HCFA stakeholders and partners		Supported	C.12.9	Deloitte team will update each change request with an appropriate status in JIRA. Our team also consolidates and communicates the most current status of any change request to all the concerned stakeholders.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-106	Operations and Maintenance	IT Change Management	Approve for Implementation	The contractor shall receive CCB approval for all changes prior to promotion into the Production environment		Supported	C.12.9	Deloitte understands that TCCB approval is required for implementing any change in production. Our team will obtain the approval so that only authorized changes are implemented in production by utilizing a solid test management strategy that includes a thorough regression testing.
NFR-OM-107	Operations and Maintenance	IT Change Management	Coordinate & Implement	The contractor shall produce and publish to HCFA ongoing formal documentation of the activities and checkpoints required to coordinate and implement authorized change(s)		Supported	C.12.9	Deloitte team complies with the ongoing formal documentation requirements by collaborating with the State in getting the implementation schedule and activities approved and added to the existing documentation repository.
NFR-OM-108	Operations and Maintenance	IT Change Management	Coordinate & Implement	The contractor shall provide implementation team members to be on call and available following any implemented changes to production team		Supported	C.12.9	Deloitte will communicate the roles and responsibility of its implementation team members to all the concerned stakeholders. The implementation team is available onsite and on-call during and after the implementation depending on the type of change that is being implemented
NFR-OM-109	Operations and Maintenance	IT Change Management	Coordinate & Implement	The contractor vendor team should be able to back out any implemented changes that have a negative impact on the system		Supported	C.12.9	Deloitte will provide a clearly documented rollback strategy in the implementation plan for each change request. If the implementation produces any negative impact on the system, our team executes the rollback steps after the necessary approvals by the State and brings the system back to its previous stable state.
NFR-OM-110	Operations and Maintenance	IT Change Management	Coordinate & Implement	The contractor shall communicate and coordinate with the HCFA configuration manager to ensure that all CI changes resulting from a new change is appropriately documented		Supported	C.12.9	Deloitte will collaborate with the State to include any configuration item changes that arise after an implementation to the State's Configuration Management Database.
NFR-OM-111	Operations and Maintenance	IT Change Management	Review & Close	The contractor shall perform a formal post-implementation change review to confirm that the change has met objectives, and that HCFA's relevant change stakeholders are satisfied with the results. This review will be based on formal post-implementation change review process, which will be included in the SIs IT Change Management Plan, and approved by HCFA		Supported	C.12.9	Deloitte will conduct an implementation review meeting with the concerned stakeholder to review, verify and validate the results of a change.
NFR-OM-112	Operations and Maintenance	IT Change Management	Review & Close	The contractor shall document and publish to HCFA lessons learned, to provide an opportunity to improve the IT Change Management process for future changes		Supported	C.12.9	Deloitte team documents the lessons learned while implementing a change request in order to improve the change management process for future IT requests.



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes	
NFR-OM-113	Operations and Maintenance	IT Change Management	Key Performance Indicators	<p>The contractor shall track and monitor metrics through reports on a frequency agreed upon with the State for:</p> <ul style="list-style-type: none"> - % of changes implemented successfully - Reduction in the backlog of change requests - % of Normal Changes - % of Expedited Changes - % of Standard Changes - % of Rejected Changes - % of Emergency Changes - % of successfully implemented approved changes. - Time to process change requests end-to-end by type - % of successful Back outs - % of changes which cause issues in the environment - % of implemented changes in which Post Implementation Review is performed - % of unauthorized changes 		Supported	C.12.9	<p>To track and monitor the change management process, we develop and publish reports on the following metrics:</p> <ul style="list-style-type: none"> • Percent of changes implemented successfully • Reduction in the backlog of change requests • Percent of normal changes • Percent of expedited changes • Percent of standard changes • Percent of rejected changes • Percent of backed out changes, due to inaccurate impact analysis • Percent of rolled back changes • Percent of changes that were completed successfully with correct data in CMS • The average time and cost of diagnosing and resolving incidents and problems (by type) • Percent of business impact of outages and incidents caused by poor asset and configuration management • Number of total number of CIs tracked over time
NFR-OM-114	Operations and Maintenance	Configuration Management	Plan Configuration Management	The contractor shall develop a Configuration Management Plan which integrates with HCFA's Configuration Management Plan		Supported	C.12.10	Deloitte will coordinate with the State to integrate our Configuration Management Plan with the State's Configuration Management Plan.
NFR-OM-115	Operations and Maintenance	Configuration Management	Plan Configuration Management	The contractor shall build and maintain a configuration management database (CMDB) which is maintained per the standards defined in the HCFA Configuration Management Plan. The CMDB shall be maintained within a service management tool which integrates the CMDB with other service management capabilities such as Incident Management and Change Management		Supported	C.12.10	The State will purchase and Deloitte will build and maintain a CMDB that is aligned to the standards set forth in the State's Configuration Management Plan. The CMDB will be integrated with other service management capabilities such as Incident Management, Change Management Service Desk, etc.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-116	Operations and Maintenance	Configuration Management	Plan Configuration Management	The Vendor CMDB shall be accessible to HCFA stakeholders for increased transparency		Supported	C.12.10	Deloitte will purchase, build, and maintain a Configuration Management Database (CMDB) that is aligned to the standards set forth in the State's Configuration Management Plan. CMDB will be integrated with other service management capabilities such as Incident Management and Change Management Service Desk.
NFR-OM-117	Operations and Maintenance	Configuration Management	Identify Configuration	Configuration Items shall be integrated to an enterprise CMDB		Supported	C.12.10	Deloitte will collaborate with State business and IS leadership to define configuration items(CI) with appropriate levels of granularity and integrate the CIs into an enterprise CMDB
NFR-OM-118	Operations and Maintenance	Configuration Management	Identify Configuration	An initial set of Configuration Items (CI's) must be defined by the vendor in coordination with HCFA business and IS leadership to ensure appropriate level of granularity		Supported	C.12.10	Deloitte will collaborate with State business and IS leadership to define CIs with appropriate levels of granularity and integrate the CIs into an enterprise CMDB
NFR-OM-119	Operations and Maintenance	Configuration Management	Identify Configuration	The baseline configuration of the system shall be consistent with the TEDS enterprise architecture		Supported	C.12.10	Deloitte shall work with the State to develop a configuration data model that is consistent with the State's enterprise CMDB configuration data model.
NFR-OM-120	Operations and Maintenance	Configuration Management	Identify Configuration	Older versions of approved baseline configurations should be maintained and made available for review and rollback if needed		Supported	C.12.10	Deloitte will maintain older versions of approved baseline configurations and provide it for review or rollback upon request from the State. For this purpose, we will also retain records of configuration controlled changes to TEDS for at least three (3) years or as directed by the State
NFR-OM-121	Operations and Maintenance	Configuration Management	Control Configuration	The contractor configuration data model must be consistent with HCFA's enterprise CMDB configuration data model		Supported	C.12.10	Deloitte shall work with the State to develop a configuration data model that is consistent with the State's enterprise CMDB configuration data model.
NFR-OM-122	Operations and Maintenance	Configuration Management	Control Configuration	The contractor shall manage the lifecycle of each CI from identification through retirement		Supported	C.12.10	Deloitte will manage and monitor the CI life cycle
NFR-OM-123	Operations and Maintenance	Configuration Management	Monitor Configuration	The contractor shall develop standard reports in coordination with the HCFA configuration owner which provide views, at a minimum, to the definition of CI's, CI relationships, and status		Supported	C.12.10	Deloitte will develop and produce configuration reports for the State on a periodic basis as detailed in figure C.12-7. Configuration Management Methodology.
NFR-OM-124	Operations and Maintenance	Configuration Management	Monitor Configuration	Updates to CIs must be published to HCFA configuration owners monthly, unless otherwise stated in the HCFA Configuration Management Plan		Supported	C.12.10	Deloitte will provide updates to CIs on a monthly basis or as set forth in the State Configuration Management Plan.
NFR-OM-125	Operations and Maintenance	Configuration Management	Verify Configuration	The contractor shall perform periodic audits of the CMDB to ensure accuracy and reliability of data as defined by HCFA configuration owner		Supported	C.12.10	On a periodic basis as defined by the State, Deloitte will perform CMDB audits to validate accuracy and reliability of data. We will document and publish our findings on the audits in a report to the State for review and also work with the State to address audit findings within thirty (30) days.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-126	Operations and Maintenance	Configuration Management	Verify Configuration	Findings from CMDB audits shall be published in an audit report and shared with the HCFA configuration owner		Supported	C.12.10	Deloitte will document and publish our findings on the audits in a report to the State for review
NFR-OM-127	Operations and Maintenance	Configuration Management	Verify Configuration	Findings from the CMDB audits must be resolved within 30 days		Supported	C.12.10	Deloitte will work with the State to address audit findings within thirty (30) days.
NFR-OM-128	Operations and Maintenance	Configuration Management	Capability Key Performance Indicators	<p>The contractor shall track and monitor metrics through reports on a frequency agreed upon with the State for:</p> <ul style="list-style-type: none"> - % of backed out changes, due to inaccurate impact analysis - % of rolled back changes - % of changes that were completed successfully with correct data in CMS - The average time and cost of diagnosing and resolving incidents and problems (by type) - % of business impact of outages and incidents caused by poor asset and configuration management - # of total number of CIs tracked over time 		Supported	C.12.9	<p>The Deloitte team documents the lessons learned while implementing a change request in order to improve the change management process for future IT requests. To track and monitor the change management process, we develop and publish reports on the following metrics:</p> <ul style="list-style-type: none"> • Percent of changes implemented successfully • Reduction in the backlog of change requests • Percent of normal changes • Percent of expedited changes • Percent of standard changes • Percent of rejected changes • Percent of backed out changes, due to inaccurate impact analysis • Percent of rolled back changes • Percent of changes that were completed successfully with correct data in CMS • The average time and cost of diagnosing and resolving incidents and problems (by type) • Percent of business impact of outages and incidents caused by poor asset and configuration management • Number of total number of CIs tracked over time
NFR-OM-129	Operations and Maintenance	Release Deployment Management	Review & Validate Release	The contractor shall develop a Release and Deployment Management Plan which integrates with HCFAs Release and Deployment Management Plan		Supported	C.12.11	Our release management plan will be integrated with the State's Release and Deployment Management Plan.
NFR-OM-130	Operations and Maintenance	Release Deployment	Review & Validate Release	The contractor shall own and manage the entire Release and Deployment lifecycle in coordination with HCFA stakeholders and other third party providers		Supported	C.12.11	Deloitte will own and manage the entire Release and Deployment life cycle and coordinate with stakeholders from the State and third party providers.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
		Management						
NFR-OM-131	Operations and Maintenance	Release Deployment Management	Plan Release	The contractor must develop and perform formal review process to clearly define and approve the release plans with HCFA's relevant stakeholders		Supported	C.12.11	Deloitte will follow our release planning and deployment management approach to conduct formal release reviews and release plan approvals.
NFR-OM-132	Operations and Maintenance	Release Deployment Management	Plan Release	The review process must include project management planning, technical review of the Service Design Package (SDP) and configuration management report on the status of the to-be-deployed-to environment		Supported	C.12.11	As detailed in our methodology and approach, we will produce project management planning and configuration management reports on release status as part of the review process.
NFR-OM-133	Operations and Maintenance	Release Deployment Management	Build & Configure Release	The contractor shall produce formal documentation of all build notes and publish to HCFA's release manager to review and confirm that all build activities are complete		Supported	C.12.11	Deloitte will produce formal build notes documentation for all releases including emergency release to the State for approval prior to build
NFR-OM-134	Operations and Maintenance	Release Deployment Management	Test & Accept Release	The contractor shall produce a formal test certificate as part of the release approval process. The Test certificate must follow the process and standards defined within the Test Management Plan		Supported	C.12.11	Deloitte will also produce a formal test certificate that is based on the process and standards set forth in the Test Management Plan
NFR-OM-135	Operations and Maintenance	Release Deployment Management	Plan Deployment	The Release Plan for all new releases must involve and be published to all relevant IT and Business stakeholders across HCFA		Supported	C.12.11	For all new releases, Deloitte will develop and execute an Implementation and Deployment Plan and publish to all relevant IT and Business stakeholders of the State for approval.
NFR-OM-136	Operations and Maintenance	Release Deployment Management	Plan Deployment	The Release Plan must take into consideration all dependencies and be closely aligned with HCFA's Change Management Plan		Supported	C.12.11	Deloitte's proposed plan will be closely aligned with the State's Change Management Plan and all dependencies will be considered while developing this plan
NFR-OM-137	Operations and Maintenance	Release Deployment Management	Plan Deployment	The contractor will manage releases in a non-disruptive fashion, managing schedules that do not conflict with primary business operating and service delivery hours		Supported	C.12.11	Deloitte will implement the release during non-business and non-service delivery hours in order to avoid disruption.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-138	Operations and Maintenance	Release Deployment Management	Plan Deployment	The contractor shall communicate to the HCFA team pre and post notifications if the RFC involves downtime in the production environment		Supported	C.12.11	Deloitte will implement the release during non-business and non-service delivery hours in order to avoid disruption.
NFR-OM-139	Operations and Maintenance	Release Deployment Management	Plan Deployment	The contractor will include risk and risk mitigation plans for each release deployment		Supported	C.12.11	For each Release deployment, we will provide formal risk and risk mitigation plans, including a back-out approach to the State.
NFR-OM-140	Operations and Maintenance	Release Deployment Management	Perform Operational Readiness	The contractor shall perform formal and documented Operational Readiness validation to ensure that there is appropriate knowledge transfer to the users impacted by the new release and the Service Desk that will be supporting the release. The Operational Readiness validation outputs must be published to HCFA for review and approval		Supported	C.12.11	Deloitte shall perform formal and documented Operational Readiness validation by following our Release Planning and Deployment approach
NFR-OM-141	Operations and Maintenance	Release Deployment Management	Deploy Release	The contractor shall develop and manage a formal and documented procedure to ensure the integrity of the release package and its constituent components throughout the transition activities. The procedure must be published to HCFA		Supported	C.12.11	Deloitte will develop and manage a formal and documented procedure to ensure the integrity of the release package and its constituent components throughout the transition activities and publish this to the State.
NFR-OM-142	Operations and Maintenance	Release Deployment Management	Deploy Release	The contractor shall communicate each release to the applicable HCFA IT and Business stakeholders following an approved communication plan which is shall be detailed within the Release and Deployment Plan		Supported	C.12.11	Deloitte will work with the State to develop and provide a communication plan that details the process and procedures to notify State and other TEDS's stakeholders regarding all aspects of release and deployment management.
NFR-OM-143	Operations and Maintenance	Release Deployment Management	Deploy Release	The contractor shall maintain segregation of duties between development and release management teams		Supported	C.12.11	Deloitte will maintain segregation of duties between release planning and development teams.
NFR-OM-144	Operations and Maintenance	Release Deployment Management	Go-Live for Release	The contractor shall manage deployment automation tools to increase efficiency, speed, and accuracy of the release		Supported	C.12.11	Based on agreement with State, we will provide dedicate support resources, to determine success of the deployment and resolve any resulting issues. We will send pre and post-implementation communication to the designated State personnel resources on all changes implemented into the production environment or any other environment identified by the State.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-145	Operations and Maintenance	Release Deployment Management	Go-Live for Release	The contractor shall dedicate support resources, available at a capacity agreed upon by HCFA, to determine success of the deployment and resolve any resulting issues		Supported	C.12.11	Deloitte will also own maintenance and repair responsibilities for any production issues related to a change implemented into the production environment.
NFR-OM-146	Operations and Maintenance	Release Deployment Management	Manage Warranty Support	The contractor shall develop and manage a formal process to ensure that the new or changed service is capable of delivering the utility and warranty as agreed upon and stated by HCFA. The process must be published to HCFA and signed - off by HCFA's relevant stakeholders		Supported	C.12.11	Deloitte will develop and manage a formal process to ensure that any new or changed service is capable of delivering the utility as agreed upon. We will provide this process to the State and other relevant stakeholders for review and sign-off.
NFR-OM-147	Operations and Maintenance	Release Deployment Management	Key Performance Indicators	<p>The contractor shall track and monitor metrics through reports on a frequency agreed upon with the State for:</p> <ul style="list-style-type: none"> - % of releases successfully meeting validation criteria to proceed to planning stage of the release - % increase/decrease in number of releases that meet customer expectations for cost, time and quality - % increase/decrease of releases where build completion is successful - % increase/decrease of releases where the component unit tests complete successfully - % increase/decrease of known errors and defects during testing of the release - % increase/decrease in successful test completions of the releases - % increase/decrease in time to approve and schedule releases - % increase/decrease of incidents solved by level 1 and level 2 support - % reduction in number of incidents due to incorrect components being deployed 		Supported	C.12.11	<p>Deloitte will work with the State to develop reports with an agreed upon frequency that includes the following metrics:</p> <ul style="list-style-type: none"> • Percent of releases successfully meeting validation criteria to proceed to planning stage of the release • Percent increase/decrease in number of releases that meet customer expectations for cost, time, and quality • Percent increase/decrease of releases where build completion is successful • Percent increase/decrease of releases where the component unit tests complete successfully • Percent increase/decrease of known errors and defects during testing of the release • Percent increase/decrease in successful test completions of the releases • Percent increase/decrease in time to approve and schedule releases • Percent increase/decrease of incidents solved by level 1 and level 2 support • Percent reduction in number of incidents due to incorrect components being deployed



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-148	Operations and Maintenance	Asset Management	Request IT software / hardware asset	The contractor shall be responsible for identifying required software and hardware for the TEDS activities. The contractor will identify interdependencies between existing assets and associated costs		Supported	C.12.12	Request IT Software/Hardware Asset - Deloitte will leverage the State's existing infrastructure assets and determine a baseline assets library for TEDS, illustrating the interdependencies between existing assets and associated cost. We will follow our ongoing life cycle-based approach to asset management to identify the requirements related to license renewal, audit and compliance needs, increasing scale, and any other applicable strategic reasons. Our Asset Management team will create documentation to support our requests for IT software and hardware procurement, highlighting interdependencies between assets and associated costs, and submit the corresponding procurement requests to the State.
NFR-OM-149	Operations and Maintenance	Asset Management	Procure IT software / hardware	The contractor shall provide support to HCFA in all procurement activities related to IT assets		Supported	C.12.12	Procure IT Software/Hardware - Deloitte will comply with the State's policy for TEDS's procurement of software and hardware assets. When our asset management plans indicate a need for new software or hardware, we will provide software and hardware specifications to the State based on the approved Capacity Plan and System Configuration documentation. This information will help the State with the procurement of IT assets to best support TEDS
NFR-OM-150	Operations and Maintenance	Asset Management	Procure IT software / hardware	The contractor is responsible for development and maintenance of an Asset Library to enable accurate and up-to-date tracking and monitoring of procured IT software / hardware assets		Supported	C.12.12	As TEDS's asset manager, Deloitte will develop and maintain an Asset Library to track and monitor TEDS's IT software and hardware assets and related versions. Deloitte will monitor and update the Asset Library for it to constantly remain accurate, up-to-date, and reflective of current assets.



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-151	Operations and Maintenance	Asset Management	Deploy IT software / hardware assets	The contractor shall develop and manage a formal software / hardware asset deployment process. The deployment process must be published to HCFA for approval	Supported	C.12.12	<p>Deploy IT Software/Hardware Asset - Deloitte will design, develop, and manage a formal IT software and hardware asset deployment process to track and monitor the complete life cycle of deployed assets from work plan to approval and implementation. We will publish that deployment process to the State for approval. All asset deployments will be captured in the Service Delivery Release Log with a listing of the detailed activities that will take place including: work plan, release plan, deployment plan, test plan and back-out plan. The log will also include detailed release information including scope, content, change, risk, organization, stakeholders, delivery & deployment strategy, outage times, and service level agreements.</p> <p>Detailed release information including scope, content, change, risk, organization, stakeholders, delivery & deployment strategy, outage times, and service level agreements</p> <p>In addition, we will follow established processes to communicate information regarding the deployment of IT software and hardware assets and associated contents to the internal and external users that could be affected by that deployment. This information includes details such as changes/updates/upgrades handled in the release, and outage times. We will also publish through formal processes appropriate release notes notifying affected users of the success, or failure, of the deployment prior to closing the deployment activity.</p>
NFR-OM-152	Operations and Maintenance	Asset Management	Deploy IT software / hardware assets	The contractor shall be responsible for performing the test suite against the new assets, Following the process and standards defined within the Test Management Plan	Supported	C.12.12	<p>As part of the formal IT software and hardware assets deployment process, we will complete a series of testing activities prior to actual production deployment. This includes performing the processes and standards defined within the Test Management Plan and described as part of the Service Delivery Release Log. We will only proceed to the next step once we have successfully performed the complete test suite against the new assets with applicable third parties and received State approval for production environment deployment.</p>
NFR-OM-153	Operations and Maintenance	Asset Management	Manage IT software / hardware assets	The contractor shall be responsible for implementation and maintenance of all the TEDS related software / hardware assets	Supported	C.12.12	<p>Manage IT Software/Hardware Asset – Our approach to asset management not only covers the implementation of TEDS's software and hardware assets, but also involves the maintenance and retirement of them. We will also assist the State in the identification of TEDS's IT needs.</p>



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-154	Operations and Maintenance	Asset Management	Manage IT software / hardware assets	The contractor is responsible for development and maintenance of an asset management tool(s) to allow HCFA a complete view of assets lifecycle, usage, regulatory compliance, costs, changes and viability		Supported	C.12.12	Deloitte will develop an Asset Management Tool to offer a convenient means for the State to attain an in-depth understanding of existing TEDS assets. This Asset Management Tool will facilitate the access to details such as asset types, their usage, dates of inventory entry and retirement, their impact to IT services, and licensing information, and provide the State with a complete view of assets life cycle, usage, regulatory compliance, costs, changes and viability. This extensive information repository will empower the State to make evidenced and efficient infrastructure improvement decisions while minimizing overhead expenses.
NFR-OM-155	Operations and Maintenance	Asset Management	Manage IT software / hardware assets	The contractor shall log and track assets in parallel with the CMDB		Supported	C.12.12	Deloitte will work closely with the State and applicable relevant third parties to build and maintain an Asset Library that provides up-to-date visibility into existing TEDS IT landscape's assets such as software, hardware, remote sites, user workstations, etc. In addition, we will log and track IT software and hardware assets into a configuration management database (CMDB). The transparent visibility thus achieved will be paramount in assisting the State develop its asset procurement and deployment strategy.
NFR-OM-156	Operations and Maintenance	Asset Management	Manage IT software / hardware assets	The contractor shall be ready for periodic asset audits performed by HCFA or 3rd parties		Supported	C.12.12	Deloitte will define and document all of the hardware and software assets in the Service Delivery Asset Log including: Criteria for selection, Identification and attributes, Hardware and software versions, Documentation and Ownership. Our detailed asset management plan will include a defined approval process to maintain the ongoing asset library, and will provide a complete view of the asset life cycle, usage, regulatory compliance, costs, changes and viability. The information continuously compiled will provide details such as baseline, revision history, waivers and deviations in order to meet all the audit requirements. We will participate in the periodic asset audits performed by the State or other State Contractors.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-157	Operations and Maintenance	Asset Management	Decommission / Retire IT Software / Hardware Assets	The contractor shall produce and publish to HCFA a formal software / hardware assets decommission and retirement process. The process must be approved by HCFA		Supported	C.12.12	Deloitte's detailed asset decommissioning process includes detailed steps and controls so that assets are retired safely and legally for all users. Our decommissioning process implements a checklist of activities for which completion is required to abide by State's policy and compliance regulations. This established process will identify the targeted assets, ensure that critical backups are performed, disable user's access, implement steps to remove the assets from the network and execute those needed to clean the data. We will publish this IT software and hardware assets replacement, decommission, and retirement process to the State. Our asset decommissioning process will be reviewed and executed in accordance with the State's approval process and that of other applicable agencies, such as CMS.
NFR-OM-158	Operations and Maintenance	Asset Management	Key Performance Indicators	<p>The contractor shall track and monitor metrics through reports on a frequency agreed upon with the State for:</p> <ul style="list-style-type: none"> - Value of software products recorded in the IT Asset Management Repository - # of software licenses - Value of the hardware assets recorded in the IT Asset Management Repository - % of purchased software licenses available vs. filled - Identified subscription agreements automatically renewed - For each managed software product, the level of Compliance with licensing agreements - # of incidents opened against Software Asset Management activities - % of software requests fulfilled without a ticket - % of purchases for software performed outside of the official Procurement systems - % of available Hardware Assets against the total number of Hardware Assets - # of incidents opened against Hardware Asset Management activities - Value of the Hardware Assets being disposed of over a defined period of time 		Supported	C.12.12	<p>As required by the State and on an agreed upon frequency, we will track, monitor, and report on the following metrics:</p> <ul style="list-style-type: none"> • Value of software products recorded in the IT Asset Management Repository • Number of software licenses • Value of the hardware assets recorded in the IT Asset Management Repository • Percent of purchased software licenses available vs. filled • Identified subscription agreements automatically renewed • For each managed software product, the level of compliance with licensing agreements • Number of incidents opened against Software Asset Management activities • Percent of software requests fulfilled without a ticket • Percent of purchases for software performed outside of the official procurement systems • Percent of available hardware assets against the total number of Hardware Assets • Number of incidents opened against hardware asset Management activities • Value of the hardware assets being disposed of over a defined period of time



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-159	Operations and Maintenance	Event Management	Engineer & Configure Event Management System	The contractor shall produce and maintain formal definitions for commonly occurring events based of leading industry practices.		Supported	C.12.13	Deloitte will produce, maintain, and enforce formal event handling procedures to make sure that TEDS and its associated services are constantly and efficiently monitored, filtering and categorizing events in order to decide on appropriate actions when required. In particular, we will develop and maintain formal definitions for commonly occurring events based on industry standards such as those defined in the ITIL to align TEDS services with its business needs.
NFR-OM-160	Operations and Maintenance	Event Management	Engineer & Configure Event Management System	The contractor shall produce, maintain and enforce formal event handling procedures.		Supported	C.12.13	Deloitte will develop and maintain formal definitions for commonly occurring events based on industry standards such as those defined in the Information Technology Infrastructure Library (ITIL) to align TEDS services with its business needs. We describe our approach to event management on Figure C.12-17above.
NFR-OM-161	Operations and Maintenance	Event Management	Detect & Log Event	The contractor shall produce and enforce formal procedures for detection and logging of events.		Supported	C.12.13	Deloitte will manage events in compliance with the State's policies and procedures. We will record all events taking place in the execution of TEDS to provide an audit trail used to understand the system activity and diagnose potential problems. For instance, NextGen includes a built-in component that captures application error events along with the point of failure, error trace and supporting information, and persists them into a database location for tracking and reporting purposes with details such as error code, error details, stack trace, timestamp, transaction, and user ID
NFR-OM-162	Operations and Maintenance	Event Management	Detect & Log Event	The contractor shall produce and maintain event logs in compliance with HCFA's policies and procedures.		Supported	C.12.13	Deloitte will produce and enforce formal procedures for detection and logging of events, following ITIL-based event management practices as highlighted on Figure C.12-17, and we will produce, maintain, and share those events' logs as part of our system monitoring activities.
NFR-OM-163	Operations and Maintenance	Event Management	Correlate & Filter Event	The contractor shall produce formal process and documentation determining filtering definitions, policies, and procedures. The documentation must be published to HCFA for approval.		Supported	C.12.13	Deloitte understands that events occurring in the system have different impacts, and need to be categorized. We will produce formal process and documentation determining filtering definitions, policies, and procedures
NFR-OM-164	Operations and Maintenance	Event Management	Correlate & Filter Event	The contractor shall implement fully automated correlation engines for grouping of events.		Supported	C.12.13	Deloitte will implement fully automated correlation engines to group events, configuring each triage tool for integration with external service management tools, and publishing to the State the correlation rules behind the correlation engines. We will publish to the State and review our driving correlation rules to provide ongoing improvement opportunities.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-165	Operations and Maintenance	Event Management	Correlate & Filter Event	The correlation rules that drive the correlation engines must be published to HCFA and continuously reviewed for improvement opportunities.		Supported	C.12.13	Deloitte will implement fully automated correlation engines to group events, configuring each triage tool for integration with external service management tools, and publishing to the State the correlation rules behind the correlation engines. We will publish to the State and review our driving correlation rules to provide ongoing improvement opportunities.
NFR-OM-166	Operations and Maintenance	Event Management	Correlate & Filter Event	The Contractor shall configure each triage tool to integrate with the State Configuration Management framework and ITSM Suite.		Supported	C.12.13	Deloitte understands that events occurring in the system have different impacts, and need to be categorized. We will produce formal process and documentation determining filtering definitions, policies, and procedures. Once the State approves our documentation, we will categorize events based on our defined criteria distinguishing informational, warning, and exception events. We will implement fully automated correlation engines to group events, configuring each triage tool for integration with external service management tools, and publishing to the State the correlation rules behind the correlation engines. We will publish to the State and review our driving correlation rules to provide ongoing improvement opportunities.
NFR-OM-167	Operations and Maintenance	Event Management	Select Event Response	The contractor shall communicate all events to the appropriate HCFA and HCFA's partners, functions that need to be informed or take further control actions.		Supported	C.12.13	Events may be responded to automatically, for instance by rebooting a device or restarting a system, or they may require operations team's intervention, based upon event severity, type, and other system characteristics. Deloitte will implement fully automated correlation engines to group and filter events. Our on-site production support team will monitor the production environment 24/7/365, and review those grouped and filtered events. We will communicate all events to the approved State stakeholders and partners, within a time frame dictated by the severity of the events, as defined with the State. We will then collaboratively determine the best response and corrective action to offer for each of the reported event, when applicable.
NFR-OM-168	Operations and Maintenance	Event Management	Review & Close Event	The contractor shall develop and manage a formal event review process. The process and the findings must be published to HCFA,		Supported	C.12.13	Deloitte will develop and manage a formal event review process, and submit to the State both our process, and the findings unraveled. Many automated events are closed automatically or are purely informational.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-169	Operations and Maintenance	Event Management	Review & Close Event	The contractor shall log corrective actions and close out event.		Supported	C.12.13	Deloitte will collaboratively determine the corrective actions to be executed on those events that remain open or are linked to incidents, log those corrective actions, provide a status update on the event resolution, close out the event with State approval, and record the final disposition As part of our event reviews activities, we will also determine how event monitoring can be improved based on historical event trends and actions.



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes	
NFR-OM-170	Operations and Maintenance	Event Management	Key Performance Indicators	<p>The contractor shall track and monitor metrics through reports on a frequency agreed upon with the State for:</p> <ul style="list-style-type: none"> - Number of events/alerts generated without actual degradation of service/functionality (false positives - indication of the accuracy of the instrumentation parameters, important for CSI). - Number and ratio of events compared with the number of incidents - Number and percentage of each type of event per platform or application versus total number of platforms and applications underpinning live IT services (looking to identify IT services that may be at risk for lack of capability to detect their events) - Number and percentage of repeated or duplicated events (this will help in the tuning of the correlation engine to eliminate unnecessary event generation and can also be used to assist in the design of better event generation functionality in new services) - Number and percentage of events that required human intervention and whether this was performed - Number of incidents that occurred and percentage of these that were triggered without a corresponding event - Number and percentage of incidents that were resolved without impact to the business (indicates the overall effectiveness of the event management process and underpinning solutions) - Number and percentage of events that resulted in incidents or changes - Number and percentage of events caused by existing problems or known errors (this may result in a change to the priority of work on that problem or known error) - Number and percentage of events indicating performance issues (for example, growth in the number of times an application exceeded its transaction thresholds over the past six months) - Number and percentage of events indicating potential availability issues (e.g. failovers to alternative devices, or excessive workload swapping) 		Supported	C.12.13	<p>To maintain and improve any process, it is important to track and monitor metrics. Deloitte will work with the State to develop reports on the following metrics, on an agreed upon frequency:</p> <ul style="list-style-type: none"> • Number of events/alerts generated without actual degradation of service/functionality • Number and percentage of each type of event per platform or application versus total number of platforms and applications underpinning live IT services • Number and percentage of repeated or duplicated events • Number and percentage of events that required human intervention and whether this was performed • Number and percentage of events that resulted in incidents or changes • Number and ratio of events compared with the number of incidents • Number of incidents that occurred and percentage of these that were triggered without a corresponding event • Number and percentage of incidents that were resolved without impact to the business • Number and percentage of events caused by existing problems or known errors • Number and percentage of events indicating performance issue • Number and percentage of events indicating potential availability issues



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-171	Operations and Maintenance	Incident Management	Interaction Handling	The contractor shall develop and manage an Incident Management Plan that that establishes the processes and standards for which the vendor will manage the lifecycle of incidents. The SI's Incident Management Plan must integrate with existing HCFA and other third party providers processes.		Supported	C.12.14	Deloitte knows what it takes to support TEDS on a day-to-day basis: we currently support over 30 other integrated eligibility systems of similar scope across the nation. Deloitte dedicates a Help Desk team to the identification, management, and resolution of incidents, leveraging our knowledge and experience to facilitate the flow of issues, incidents, and requests for rapid and effective resolution. We will develop an Incident Management Plan documenting our approach to Help Desk incident resolution, integrating with State and other third party processes, and addressing our monitoring and alerting procedures in domain such as files exchange through interfaces, escalation procedures, or alerts on all hardware, systems, applications, and access points. Once the State approves that plan, we will execute and manage it to ensure appropriate identification, management, and resolution of all identified incidents and problems related to TEDS such as batch, infrastructure, or database incidents. Deloitte understands that the State, other State contractors, and third parties interacting with TEDS might all have processes in place to handle incident and problems with their existing systems. We will design our Incident Management Plan so as to integrate our incident resolution approach with those existing processes. Our Incident Management Plan, Help Desk incident resolution process, and our place in providing Help desk support can all be modified to best integrate with existing State and other third party processes.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-172	Operations and Maintenance	Incident Management	Interaction Handling	<p>The contractor shall outline their monitoring/alerting procedures within the Incident Management Plan that addresses but is not limited to the following:</p> <ul style="list-style-type: none"> o Alerting capability on any and all hardware, systems, applications, and access points o Identifying errors in processing input files and/or output files. This alerting system would capture errors in the interface application(s) o Communication Plan that includes escalation procedures. o Root cause analysis with development of action plans and implementation of solution/workaround o Well-refined process for resolving system issues 		Supported	C.12.14	Deloitte knows the importance of a well-defined, thorough Incident Management Plan. In particular, outlining the monitoring and alerting capabilities in place to facilitate the identification of disruptions in TEDS's smooth functioning is paramount. The plan that we will submit to the State for approval will describe the alerting capabilities that we will leverage to identify errors in the interface applications while processing input and output files, as well as those that we will set up on all hardware, system, applications, and access points. Our plan will also describe the process that we will follow to resolve production issues detailing our root cause analysis procedures and how we will develop action plans and implement solutions or workaround to identified incidents and problems. We will also include documentation about a number of other procedures within our Incident management Plan. For instance, we will describe our communication guidelines, describing our criteria for incident or problem escalation, and the procedures that we will follow when faced with the need for escalation.
NFR-OM-173	Operations and Maintenance	Incident Management	Incident Detection & Logging	The contractor shall be responsible for maintaining 24/7/365 production support (service desk) to coordinate incident identification, investigation, and diagnosis with HCFA and other 3rd party providers.		Supported	C.12.14	Deloitte will provide and maintain 24/7/365 onsite production support by dedicating a team to the identification, diagnosis, documentation, and management of identified incidents and problems from discovery to resolution.
NFR-OM-174	Operations and Maintenance	Incident Management	Incident Detection & Logging	The contractor shall manage and maintain a tool that enables HCFA visibility into incident management and integrates with other service management capabilities such as Change Management and Configuration Management. The contractor shall leverage existing state tools where available and possible. Investigation & Diagnosis: Research into the incident through data gathering and lookups against knowledge bases.		Supported	C.12.14	Deloitte will leverage a number of alerting capabilities that we will setup within the system, as well as our 24/7/365 monitoring activities to detect incidents that might impact TEDS. We will then use our project management tracking tool, Atlassian's JIRA, to record and classify the information captured. We recognize that it is critical to the continued success of TEDS that incidents that require a permanent fix are prioritized appropriately for a release. We will suggest a fact-based prioritization for the resolution of identified incidents, and submit that prioritization to the State for approval. Deloitte's Incident Management Plan documents our approach to Help Desk incident resolution and describes the procedures and standards followed to address identified problems. The procedures and standards for problems handling defined in the Incident Management Plan will integrate with existing State and other third party processes.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-175	Operations and Maintenance	Incident Management	Incident Detection & Logging	The contractor shall be responsible for investigating and diagnosing incidents. All procedures and findings must be documented in incident management tool and visible to HCFA.		Supported	C.12.14	Following our State-approved Incident Management Plan procedures, we will diagnose all identified incidents, performing root cause analysis, documenting our findings in JIRA, and communicating our findings and prioritization suggestions to the State, the CIP Manager, and other State contractors. We will objectively present whether the incident could have been, should have been, or would not have been caught without the monitoring and alerting capabilities highlighted in the Incident Management Plan. Deloitte will present a mitigation plan along with the prioritization suggested to the State so that incidents with the most problematic user or largest business impact, or resulting in the most application maintenance activities, are addressed promptly and do not reoccur.
NFR-OM-176	Operations and Maintenance	Incident Management	Incident Detection & Logging	The contractor shall perform root cause analysis for all incidents and communicate the findings to HCFA and other 3rd party providers.		Supported	C.12.14	Following our State-approved Incident Management Plan procedures, we will diagnose all identified incidents, performing root cause analysis, documenting our findings in JIRA, and communicating our findings and prioritization suggestions to the State, the CIP Manager, and other State contractors. We will objectively present whether the incident could have been, should have been, or would not have been caught without the monitoring and alerting capabilities highlighted in the Incident Management Plan. Deloitte will present a mitigation plan along with the prioritization suggested to the State so that incidents with the most problematic user or largest business impact, or resulting in the most application maintenance activities, are addressed promptly and do not reoccur.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-177	Operations and Maintenance	Incident Management	Resolution & Recovery	The contractor shall be responsible for identifying and enacting resolutions to incidents. In cases where a permanent resolution is not currently available, a temporary work around must be provided.		Supported	C.12.14	Given the number of functional modules and external agency systems that TEDS interfaces with, the complexity of the system, and policies around which the system is built, there is, occasionally, a need to correct anomalies in production to support data quality and reliability requests. Deloitte diagnoses all identified incidents to evidence their root causes. Once impacts and causes are identified we work on providing the most appropriate resolution to the incident, prioritizing fixes for future releases, or immediate releases when dictated by specific urgencies, to implement permanent resolutions to the identified incidents. We understand that a permanent resolution might not always be immediately available, yet, we remain committed to providing rapid end user relief without affecting system functionality or project and release schedules. Therefore, we suggest workarounds or, when imposed by the situation, place data fixes until a permanent incident resolution is available. We define the criteria that qualify an item for data fix using standards collaboratively established with the State to offer continuity where the potential impact to the business and the citizens is high.
NFR-OM-178	Operations and Maintenance	Incident Management	Resolution & Recovery	The contractor shall be responsible for validating that the incident has been resolved and obtaining end-user signoff.		Supported	C.12.14	Deloitte uses JIRA to track all incidents and problems identified from discovery to resolution, documenting decisions, status updates, and resolution progress every step of the way. We conduct various rounds of testing for resolutions we offer to production incidents. When our testing activities confirm that issues are properly resolved, we implement those same resolutions to TEDS's live environment. We follow through on the implementation of our resolutions, confirming that the incident is fully resolved, meets the needs of the end users, that TEDS's smooth functioning is preserved, and that the incident will not reoccur.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-179	Operations and Maintenance	Incident Management	Closure	The contractor shall develop and manage incident closure procedures.		Supported	C.12.14	TEDS incident resolution process, developed by Deloitte, detailed in the Incident Management Plan is a well-defined, mature model for addressing incidents and problems that may arise during the execution of TEDS' operations That process provides rapid user relief without affecting system functionality or project and releases scheduled. The final step of all incident management activities is the incident closure process. For all incidents identified by the Deloitte Help Desk, we will manage and adhere to those incident closure procedures, validating that resolution objectives are achieved, and that users' needs are met. Incidents may be closed, after evaluation and consultation with the State and project teams, when it has been resolved and mitigated through
NFR-OM-180	Operations and Maintenance	Incident Management	Key Performance Indicators	<p>The contractor shall track and monitor metrics through reports on a frequency agreed upon with the State for:</p> <ul style="list-style-type: none"> - Total process time to resolve incidents by priority and by category - Effort to resolve incidents by priority and by category - Number of incidents at each stage (by status) - Size of current incident workload for each IT service - Number and percentage of major incidents (priority 1 & 2 incidents) - Number and percentage of tickets aging longer than defined time periods (10 days, 20 days etc.) - Total number of incidents - Number of major incidents - Number of tickets still open by time periods, status and priority 		Supported	C.12.14	<p>The State can access a number of details and gain insights on the overall health of the solution, pulling reports on the below metrics:</p> <ul style="list-style-type: none"> • Total process time to resolve incidents by priority and by category • Effort to resolve incidents by priority and by category • Number of incidents at each stage (by status) • Size of current incident workload for each IT service • Number and percentage of major incidents (priority 1 and 2 incidents) • Number and percentage of tickets aging longer than defined time periods (10 days, 20 days etc.) • Total number of incidents • Number of major incidents • Number of tickets still open by time periods, status and priority • Percent of availability of IT services by percent reduction in the number and duration of incidents through performing root cause analysis and implementing permanent fixes for identified problems, and performing proactive problem management • Percent reduction in number of incidents and through shared knowledgebase (problem Known Errors) • Percent change of costs on workarounds or fixes that do not work



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-181	Operations and Maintenance	Problem Management	Record, Classify, Prioritize	The contractor shall be responsible for detecting, recording, classifying, and prioritizing problems.		Supported	C.12.14	Deloitte will leverage a number of alerting capabilities that we will setup within the system, as well as our 24/7/365 monitoring activities to detect incidents that might impact TEDS. We will then use our project management tracking tool, Atlassian's JIRA, to record and classify the information captured. We recognize that it is critical to the continued success of TEDS that incidents that require a permanent fix are prioritized appropriately for a release. We suggest a fact-based prioritization for the resolution of identified incidents, and submit that prioritization to the State for approval.
NFR-OM-182	Operations and Maintenance	Problem Management	Record, Classify, Prioritize	The contractor shall address the procedures and standards for handling problems within their Incident Management Plan.		Supported	C.12.14	Deloitte's Incident Management Plan documents our approach to Help Desk incident resolution and describes the procedures and standards followed to address identified problems. The procedures and standards for problems handling defined in the Incident Management Plan will integrate with existing State and other third party processes.
NFR-OM-183	Operations and Maintenance	Problem Management	Investigate and Diagnose	The contractor shall be responsible for investigating and diagnosing problems. All procedures and findings must be documented in an IT Service Management tool.		Supported	C.12.14	We will provide and maintain 24/7/365 on-site production support by dedicating a team to the identification, diagnosis, documentation, and management of identified incidents and problems from discovery to resolution. Our Help desk team follows the process defined in Figure C.12-18 to manage incidents and problems. We will capture all incidents related to TEDS – batch, infrastructure, or database incidents – into JIRA, our project management tracking tool for TEDS. We will also document our procedures and findings into this incident management tool to ensure that both our Incident resolution team and the State have full visibility and complete access into the incident management process.



Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes	
NFR-OM-184	Operations and Maintenance	Problem Management	Investigate and Diagnose	The contractor will manage and lead all incident / problem determination / problem resolution activities associated with the TEDS application including any issue / incident / problems related to 3rd party causes.		Supported	C.12.14	Following our State-approved Incident Management Plan's procedures, we will diagnose all identified incidents, performing root cause analysis, documenting our findings in JIRA, and communicating our findings and prioritization suggestions to the State, the CIP Manager, and other State Contractors. We will objectively present whether the incident could have been, should have been or would not have been caught without the monitoring and alerting capabilities highlighted in the Incident management Plan. Deloitte will present a mitigation plan along with the prioritization suggestion suggested to the State so that incidents with the most problematic user or largest business impact, or resulting in the most application maintenance activities, are addressed promptly and do not reoccur.
NFR-OM-185	Operations and Maintenance	Problem Management	Resolve Problem	The contractor shall be responsible for identifying and enacting resolutions to incidents. In cases where a permanent resolution is not currently available, a temporary work around must be provided.		Supported	C.12.14	Given the number of functional modules and external agency systems that TEDS interfaces with, the complexity of the system, and policies around which the system is built, there is, occasionally, a need to correct anomalies in production to support data quality and reliability requests. Deloitte diagnoses all identified incidents to evidence their root causes. Once impacts and causes are identified we work on providing the most appropriate resolution to the incident, prioritizing fixes for future releases, or immediate releases when dictated by specific urgencies, to implement permanent resolutions to the identified incidents. We understand that a permanent resolution might not always be immediately available. Yet, we remain committed to providing rapid end user relief without affecting system functionality or project and release schedules. Therefore, we suggest workaround or, when imposed by the situation, place data fixes until a permanent incident resolution is available. We define the criteria that qualify an item for data fix using standards collaboratively established with the State to offer continuity in scenarios where the potential impact to the business and the citizens is high.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-186	Operations and Maintenance	Problem Management	Resolve Problem	The contractor shall be responsible for validating that the incident has been resolved the obtaining end-user signoff.		Supported	C.12.14	Deloitte will use the proposed tool, JIRA, to track all incidents and problems identified from discovery to resolution, documenting decisions, status updates, and resolution progress every step of the way. We conduct various rounds of testing for resolutions we offer to production incidents. When our testing activities confirm that issues are properly resolved, we implement the fix to TEDS's live environment. We will follow up on the implementation, confirm that the incident is fully resolved, meet the needs of the end users, that TEDS's smooth functioning is preserved, and that the incident will not reoccur.
NFR-OM-187	Operations and Maintenance	Problem Management	Close Problem	The contractor shall develop and manage incident closure procedures.		Supported	C.12.14	TEDS incident resolution process, developed by Deloitte, detailed in the Incident Management Plan is a well-defined, mature model for addressing incidents and problems that may arise during the execution of TEDS' operations That process provides rapid user relief without affecting system functionality or project and releases scheduled. The final step of all incident management activities is the incident closure process. For all incidents identified by the Deloitte Help Desk, we will manage and adhere to those incident closure procedures, validating that resolution objectives are achieved, and that users' needs are met. Incidents may be closed, after evaluation and consultation with the State and project teams, when it has been resolved and mitigated through the proper implementation of a mitigation plan, or when the incident is no longer a concern for the State. As part of the incident closure procedure, we will document the resolution provided and the impact on the system, as well as control that the incident as no opportunity for reoccurrence. All of the incident's lifecycle remains available for the State to review through our incident management tool: JIRA. The State can access a number of details and gain insights on the overall health of the Solution, pulling reports that document, for instance, average incident resolution timeframes by reporting period, the average time spent by incidents in a certain stage of the resolution process, or a breakdown of incidents created versus resolved. This visibility empowers both the Deloitte Help Desk and the State to effectively address pain points, and review some processes where needed.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-188	Operations and Maintenance	Problem Management	Key Performance Indicators	<p>The contractor shall track and monitor metrics through reports on a frequency agreed upon with the State for:</p> <ul style="list-style-type: none"> - % of availability of IT services by % reduction in the number and duration of incidents through performing root cause analysis and implement permanent fixes for identified problems, and performing proactive problem management - % reduction in number of incidents and through shared knowledge bases (problem Known Errors) - % change of costs on workarounds or fixes that do not work 		Supported	C.12.14	<p>The State can access a number of details and gain insights on the overall health of the solution, pulling reports on the below metrics:</p> <ul style="list-style-type: none"> • Total process time to resolve incidents by priority and by category • Effort to resolve incidents by priority and by category • Number of incidents at each stage (by status) • Size of current incident workload for each IT service • Number and percentage of major incidents (priority 1 and 2 incidents) • Number and percentage of tickets aging longer than defined time periods (10 days, 20 days etc.) • Total number of incidents • Number of major incidents • Number of tickets still open by time periods, status and priority • Percent of availability of IT services by percent reduction in the number and duration of incidents through performing root cause analysis and implementing permanent fixes for identified problems, and performing proactive problem management • Percent reduction in number of incidents and through shared knowledgebase (problem Known Errors) • Percent change of costs on workarounds or fixes that do not work
NFR-OM-189	Operations and Maintenance	Request Management	Initiate Request	<p>The contractor shall be responsible for identifying needs to support the TEDS and initiating, classifying, and fulfilling requests. The contractor shall be required to create a justification case for each request and submit to HCFA for approval.</p>		Supported	C.12.15	<p>Deloitte is committed to the ongoing success of TEDS. As TEDS's Operations and Maintenance (O&M) vendor, Deloitte will continuously monitor the system, identifying needs to support the Solution through the completion of O&M activities such as automated alerting and monitoring processes, or constant users' feedback gathering. When new needs are identified we will create a fact-based request and will submit to the State for approval. We will leverage our request management approach to validate and classify, evaluate, fulfill, and eventually close those requests once the targeted need is addressed to the satisfaction of all involved stakeholders. Deloitte will use Atlassian's JIRA as our request management tracking tool, documenting progress every step of the request's lifecycle.</p>



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-190	Operations and Maintenance	Request Management	Validate & Classify Request	The contractor shall provide and manage a tool logging, recording, and categorizing requests.		Supported	C.12.15	Deloitte will use Atlassian's JIRA as the tracking project management tool for TEDS throughout the System development Life Cycle (SDLC) of the project. We will manage and maintain JIRA to log, record, and categorize requests. The entire lifecycle of every request will be thoroughly documented in JIRA to ensure that both our teams and the State have full visibility and complete access into the request management process.
NFR-OM-191	Operations and Maintenance	Request Management	Validate & Classify Request	The contractor shall be responsible for developing procedures and criteria for validating and classifying requests.		Supported	C.12.15	As part of our request management approach, Deloitte will develop procedures and criteria to validate requests. Deloitte understands that, since not all requests have the same impact on TEDS's operations, it is essential that rules be created to classify requests and allow for prioritization. Our procedure and criteria for validating and classifying requests will help all interested parties understand the request priority, impact and potential risk based on system risk and business impact.
NFR-OM-192	Operations and Maintenance	Request Management	Evaluate Request	The contractor shall be responsible for communicating requests to HCFA for evaluation and approval.		Supported	C.12.15	Deloitte will review the requests created, compare them against identified trends, and communicate all created requests along with our findings to the State. We will follow the State's approved request communication channel. We will assist the State with the evaluation of the request considering categorization, trends, potential dependencies, and downstream impacts to facilitate an effective request fulfillment schedule once State approval is received. For each request, our team will execute a set of well-defined test plans as part of TEDS's overall test management strategy. JIRA provides for easily configurable and customizable workflows. We will leverage this capability and build an appropriate workflow into JIRA to communicate requests to the State for evaluation and approval.
NFR-OM-193	Operations and Maintenance	Request Management	Fulfill Request	Once request is approved, the contractor shall be responsible for fulfilling requests in accordance with HCFA's standards.		Supported	C.12.15	Once the State has evaluated and approved a request, and that request has been scheduled for implementation, we will develop a request implementation checklist. Our request implementation checklist will include every activity needed for the fulfillment of the request in adherence with the State's standards, and will clearly identify task owners. Our team is available during and after the implementation to respond to any potential incidents and execute necessary pre-defined rollback steps to back out any potential negative changes brought onto the system by the fulfilled request.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-194	Operations and Maintenance	Request Management	Review & Close Request	The contractor shall be responsible for the validating the request has been fulfilled and meets the needs of the end-user.		Supported	C.12.15	After fulfilling a request, we conduct a review to validate that the execution of the request effectively addressed the identified end-user's needs and the business objectives that had been evidenced.
NFR-OM-195	Operations and Maintenance	Request Management	Review & Close Request	Once the end-user validates the request has been fulfilled, the contractor shall be responsible for closing out request.		Supported	C.12.15	After the end-user validates that the request has been fulfilled, we will close the request, update lessons learned, and review the request documentation to improve the request management process for future requests.
NFR-OM-196	Operations and Maintenance	Request Management	Cancel Request	The contractor shall produce and publish to HCFA a formal request cancellation document.		Supported	C.12.15	In spite of thorough validation and classification of requests, there will be instances where a request might need to be cancelled. For instance, a recurring data fix might no longer be needed because a permanent resolution has been implemented. We will create a specific workflow in JIRA to manage the request cancellation process. We will produce and publish to the State a formal cancellation document, which we will also record in JIRA. After receiving an approval from the State, we will cancel the request, updating the reason for the cancellation in JIRA.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-197	Operations and Maintenance	Request Management	Key Performance Indicators	<p>The contractor shall track and monitor metrics through reports on a frequency agreed upon with the State for:</p> <ul style="list-style-type: none"> - Percent of requests fulfilled within SLA - Percent of unfulfilled requests (orphaned requests) - Percent of requests fulfilled that are authorized - Breakdown of requests at each stage including Approval stage (to help with identifying backlogs and bottlenecks) - Meantime to fulfil by different parameters such as category, fulfilment group etc. - Average user/customer survey score (total and by question category) - Percent of incidents opened against fulfilled requests - Percent of requests fulfilled without any contact to the Service Desk, via self service - Percent of RFCs submitted for fulfilment of requests - Percent of requests handled by Tier 1 and fulfilled on first interaction - Total number of requests (as a control measure) - The average cost per type of service request 		Supported	C.12.15	<p>As required by State, Deloitte tracks, monitors, and reports on the following metrics on an agreed upon frequency:</p> <ul style="list-style-type: none"> • Percent of requests fulfilled within SLA • Percent of requests fulfilled that are authorized • Mean time to fulfil by different parameters such as category, fulfilment group • Percent of incidents opened against fulfilled requests • Percent of RFCs submitted for fulfilment of requests • Total number of requests (as a control measure) • Percent of unfulfilled requests (orphaned requests) • Breakdown of requests at each stage including Approval stage (to help with identifying backlogs and bottlenecks) • Average user/customer survey score (total and by question category) • Percent of requests fulfilled without any contact to the Service Desk, via self-service • Percent of requests handled by Tier 1 and fulfilled on first interaction • The average cost per type of service request
NFR-OM-198	Operations and Maintenance	Technology Operations	IT Operations Control	<p>The contractor shall maintain a 24/7/365 Network Operations Center (NOC) within the service desk in close coordination with the infrastructure service provider (STS).</p>		Supported	C.12.16	<p>Deloitte understands the role of the service desk as the heart of real-time monitoring and as first responder to the operational needs of the TEDS system. We will provide a 24/7/365 onsite Service Desk that will coordinate with the State and STS to resolve issues and provide continued TEDS services and operations. The Service Desk will operate under for following requirements:</p> <ul style="list-style-type: none"> • Leverage existing server and hardware management tools and processes to maintain continuity with existing services of the STS NOC • Maintain a 24/7/365 Service Center within the Service Desk in close coordination with the infrastructure STS • Maintain a 24/7/365 management console to support the technical operations of the State



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-199	Operations and Maintenance	Technology Operations	IT Operations Control	The contractor shall leverage existing tools and processes within the STS NOC where available and possible.		Supported	C.12.16	<p>Deloitte understands the role of the service desk as the heart of real-time monitoring and as first responder to the operational needs of the TEDS system. We will provide a 24/7/365 onsite Service Desk that will coordinate with the State and STS to resolve issues and provide continued TEDS services and operations. The Service Desk will operate under for following requirements:</p> <ul style="list-style-type: none"> • Leverage existing server and hardware management tools and processes to maintain continuity with existing services of the STS NOC • Maintain a 24/7/365 Service Center within the Service Desk in close coordination with the infrastructure STS • Maintain a 24/7/365 management console to support the technical operations of the State
NFR-OM-200	Operations and Maintenance	Technology Operations	Console Management	The contractor shall maintain 24/7/365 console management strategies within the Service Desk providing support to STS and HCFA IS		Supported	C.12.16	<p>Deloitte understands the role of the service desk as the heart of real-time monitoring and as first responder to the operational needs of the TEDS system. We will provide a 24/7/365 onsite Service Desk that will coordinate with the State and STS to resolve issues and provide continued TEDS services and operations. The Service Desk will operate under for following requirements:</p> <ul style="list-style-type: none"> • Leverage existing server and hardware management tools and processes to maintain continuity with existing services of the STS NOC • Maintain a 24/7/365 Service Center within the Service Desk in close coordination with the infrastructure STS • Maintain a 24/7/365 management console to support the technical operations of the State



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-201	Operations and Maintenance	Technology Operations	Console Management	Review the TEDS batch jobs requests, validate schedules, and coordinate computer processing time based on system priorities, program run-time, processing, and restart requirements; considering batch and production windows / schedules.		Supported	C.12.16	<p>Deloitte Service Desk will manage all aspects of batch scheduling and processing for TEDS, adjust schedules as needed, and coordinate computer processing time based on system priorities and production windows. The service desk maintains 24/7/365 Online and Batch Job management procedures. Deloitte will establish the monitoring tools and techniques leveraging existing management tools and processes with the STS NOC and bring value to the collaboration were possible by introducing EVD tools and methods.</p> <p>Batch management oversight is key to meeting the expectations of stakeholders for consistent output and benefits of the TEDS system. Deloitte will manage all aspects of batch scheduling, processing, monitoring exceptions, and timing within the production schedules. These processes will be well documented and maintained as a function of the Service Desk.</p>
NFR-OM-202	Operations and Maintenance	Technology Operations	Online and Batch Job Management	The contractor shall maintain 24/7/365 Online and Batch Job management procedures within the service desk providing support to STS.		Supported	C.12.16	<p>Deloitte Service Desk will manage all aspects of batch scheduling and processing for TEDS, adjust schedules as needed, and coordinate computer processing time based on system priorities and production windows. The service desk maintains 24/7/365 Online and Batch Job management procedures. Deloitte will establish the monitoring tools and techniques leveraging existing management tools and processes with the STS NOC and bring value to the collaboration were possible by introducing EVD tools and methods.</p> <p>Batch management oversight is key to meeting the expectations of stakeholders for consistent output and benefits of the TEDS system. Deloitte will manage all aspects of batch scheduling, processing, monitoring exceptions, and timing within the production schedules. These processes will be well documented and maintained as a function of the Service Desk.</p>



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-203	Operations and Maintenance	Technology Operations	Online and Batch Job Management	The contractor shall provide any / all scheduling information and monitoring tools to meet the requirements of this contract.		Supported	C.12.16	<p>Deloitte Service Desk will manage all aspects of batch scheduling and processing for TEDS, adjust schedules as needed, and coordinate computer processing time based on system priorities and production windows. The service desk maintains 24/7/365 Online and Batch Job management procedures. Deloitte will establish the monitoring tools and techniques leveraging existing management tools and processes with the STS NOC and bring value to the collaboration were possible by introducing EVD tools and methods.</p> <p>Batch management oversight is key to meeting the expectations of stakeholders for consistent output and benefits of the TEDS system. Deloitte will manage all aspects of batch scheduling, processing, monitoring exceptions, and timing within the production schedules. These processes will be well documented and maintained as a function of the Service Desk.</p>
NFR-OM-204	Operations and Maintenance	Technology Operations	Backup and Restore	The contractor shall develop and maintain backup and restore procedures to support HCFA technical teams through the SDLC process.		Supported	C.12.16	<p>Deloitte understands the complexity of managing many production and SDLC environments, and will work with the State to develop a comprehensive back-up and restore process to meeting the requirements of the TEDS solution. Due to our extensive experience with large scale development projects as well as the application architecture and business requirements of IE solutions, we will provide the intermittent data refresh requirements of the SDLC development environments. Guidelines and processes for maintaining backups will be well documented and periodically tested to ensure they are meeting the service requirements of the stakeholders. Backup and recovery strategies will be tested on a monthly basis to validate success and safeguard the business continuance of the TEDS solution. Deloitte will work with the State to leverage backup and recovery strategies as well as an application architecture approach to meet the RTO and RPO requirement for disaster response and business continuity</p>
NFR-OM-205	Operations and Maintenance	Technology Operations	Backup and Restore	The contractor shall provide backup and restore completion reports to HCFA for review during periodic service level review meetings.		Supported	C.12.16	<p>Deloitte will conduct State-selected data restore tests on a monthly basis to validate successful backup/recovery strategies. We will also publish backup and restore completion reports to the State for review during periodic service level review meetings to demonstrate compliance.</p>
NFR-OM-206	Operations and Maintenance	Technology Operations	Backup and Restore	The contractor will perform a random data restore test on a monthly bases that demonstrates successful backup / recovery strategies.		Supported	C.12.16	<p>Deloitte will also publish backup and restore completion reports to the State for review during periodic service level review meetings to demonstrate compliance.</p>



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-207	Operations and Maintenance	Technology Operations	Storage and Archive	The contractor shall comply with the storage archiving and purging policies and procedures established by HCFA.		Supported	C.12.16	Deloitte recognizes the importance of adhering to the retention requirements of eligibility determination systems and the various State and Federal requirements for archival and retrieval of client data and audit logs. Deloitte will work with the State to align with these requirements and policies.
NFR-OM-208	Operations and Maintenance	Technology Operations	Server and Hardware Management and Support	The contractor shall maintain a 24/7/365 service desk within the service desk providing support to STS and HCFA IS		Supported	C.12.16	As a collaborative service provider and partner, Deloitte will work closely with the STS NOC to utilize the network management tools and processes to monitor network performance and identify bottlenecks within the network.
NFR-OM-209	Operations and Maintenance	Technology Operations	Server and Hardware Management and Support	The contractor shall leverage existing tools and processes when possible within the STS NOC.		Supported	C.12.16	As a collaborative service provider and partner, Deloitte will work closely with the STS NOC to utilize the network management tools and processes to monitor network performance and identify bottlenecks within the network.
NFR-OM-210	Operations and Maintenance	Technology Operations	Network Management	The contractor shall partner and leverage existing tools and processes within the STS NOC.		Supported	C.12.16	As a collaborative service provider and partner, Deloitte will work closely with the STS NOC to utilize the network management tools and processes to monitor network performance and identify bottlenecks within the network.



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-211	Operations and Maintenance	Technology Operations	Database Administration	The contractor shall monitor the Database.		Supported	C.12.16	<p>Deloitte's technology teams have many years of experience in all aspects of database management to meet the performance requirements of the on-line application and the batch processing demands. We maintain the discipline and rigor required to enable a solid foundation to support the business functionality. We have the tools and knowledge to maximize performance and tune the systems as progressive releases may change conditions, as well as supporting monitoring to proactively address any interruptions to service. As a comprehensive database administration service provider, we support the administrative burdens of maintaining licensing, patch/release updates, security management and continual optimization.</p> <p>Deloitte proposed technology operations includes 24/7/365 monitoring of database performance and we will manage application and database functions as required by the State. We will assume responsibility for the database administrative functions of maintaining up-to-date licensing, versions/release/patching, security, tuning and optimization.</p>
NFR-OM-212	Operations and Maintenance	Technology Operations	Directory Services Management	The contractor shall develop a solution that is compatible with HCFA's directory services and Identity Management solution.		Supported	C.12.16	<p>As an enterprise solution provider, Deloitte understands and supports the State's strategy for end-to-end identify management and SSO solutions. We will work closely with the State to integrate a solution that is compliant and compatible with the technical and administrative requirements of identify management. Deloitte will monitor and enforce security policies to maintain the integrity and confidentiality of systems from inappropriate access attempts. Deloitte will work with State to develop a Solution that is compatible with State's Directory Services and Identity Management solution.</p>



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-213	Operations and Maintenance	Technology Operations	Directory Services Management	The SI, in coordination with STS and HCFA IS, shall monitor events on the directory services, such as unsuccessful attempts to access a resource, and taking the appropriate action where required.		Supported	C.12.16	As an enterprise solution provider, Deloitte understands and supports the State's strategy for end-to-end identify management and SSO solutions. We will work closely with the State to integrate a solution that is compliant and compatible with the technical and administrative requirements of identify management. Deloitte will monitor and enforce security policies to maintain the integrity and confidentiality of systems from inappropriate access attempts. Deloitte will work with State to develop a Solution that is compatible with State's Directory Services and Identity Management solution.
NFR-OM-214	Operations and Maintenance	Technology Operations	Middleware (Application/Internet/Web) Management	The SI, in coordination with HCFA and the Technical Advisory Services function, shall ensure that appropriate middleware solutions for the TEDS solution are chosen and that they can perform optimally when they are deployed.		Supported	C.12.16	In coordination with State and other State Contractors, Deloitte will provide an appropriate and optimal middleware solution for the TEDS. We will also update TEDS-related middleware including licensing, patching, installing new versions. Our 24/7/365 onsite production team will detect and resolve issues related to TEDS middleware. With Deloitte's experience across industries and first hand eligibility determination solution experiences, we know what technologies work optimally in different technology and business environments. Deloitte can serve as a collaborative advisor to the State to support the middleware procurement process to best serve the State's requirements. Given our operational experience, we can provide support to the State for optimizing the performance of the middleware investment, including ongoing maintenance support
NFR-OM-215	Operations and Maintenance	Technology Operations	Middleware (Application/Internet/Web) Management	The SI, in coordination with STS, shall detect and resolve issues related to the TEDS middleware.		Supported	C.12.16	In coordination with State and other State Contractors, Deloitte will provide an appropriate and optimal middleware solution for the TEDS. We will also update TEDS-related middleware including licensing, patching, installing new versions. Our 24/7/365 onsite production team will detect and resolve issues related to TEDS middleware. With Deloitte's experience across industries and first hand eligibility determination solution experiences, we know what technologies work optimally in different technology and business environments. Deloitte can serve as a collaborative advisor to the State to support the middleware procurement process to best serve the State's requirements. Given our operational experience, we can provide support to the State for optimizing the performance of the middleware investment, including ongoing maintenance support



	Level 1	Level 2	Level 3	Requirement	Additional Comments	Solution Support	Bidder Response Narrative Section Reference	Notes
NFR-OM-216	Operations and Maintenance	Technology Operations	Facilities and Data Center Management	The contractor shall comply with the existing processes and standards for Data Center Management provided by STS, and leverage STS services for maintaining the TEDS infrastructure.		Supported	C.12.16	Deloitte is accustomed to working in State data center facilities and understands that the State and STS have existing data center management processes. Our solutions and resources will leverage existing services and comply with the State and STS established policies and processes. We will adhere to all processes and standards for Data Center Management provided by STS.
NFR-OM-217	Operations and Maintenance	Technology Operations	Key Performance Indicators	<p>The contractor shall track and monitor metrics through reports on a frequency agreed upon with the State for:</p> <ul style="list-style-type: none"> - Number of technology operation related incidents - Number of escalations and reason for those escalations - Number of changes implemented and backed out - Number of unauthorized changes detected - Number of releases deployed, total and successful - Number of maintenance windows exceeded - Number and ratio of events compared with the number of incidents - Number of incidents that occurred and percentage of these that were triggered without a corresponding event - Percentage reduction in the number of SLA breaches due to either poor server or mainframe performance or poor component performance - Percentage reduction in the over-capacity for technology purchases - Percentage reduction in the business disruption caused by a lack of adequate capacity - Percentage reduction in the unavailability - Percentage increase in the reliability - Percentage improvement in overall end-to-end availability of service - Percentage reduction in the unavailability of service - Percentage reduction in the number of incidents due to poor technology performance - Reports on access to the facility 		Supported	C.12.16	<p>Deloitte will work with the State to identify and define reporting criteria and frequency for tracking and monitoring the following metrics:</p> <ul style="list-style-type: none"> • Number of technology operation related incidents • Number of changes implemented and backed out • Number of releases deployed, total and successful • Number and ratio of events compared with the number of incidents • Percentage reduction in the number of SLA breaches due to either poor server or mainframe performance or poor component performance • Percentage reduction in the business disruption caused by a lack of adequate capacity • Percentage increase in reliability • Percentage reduction in the unavailability of service • Reports on access to the facility • Number of escalations and reason for those escalations • Number of unauthorized changes detected • Number of maintenance windows exceeded • Number of incidents that occurred and percentage of these that were triggered without a corresponding event • Percentage reduction in the over-capacity for technology purchases • Percentage reduction in the unavailability • Percentage improvement in overall end-to-end availability of service • Percentage reduction in the number of incidents due to poor technology performance



STAFF HOURLY RATES AND COST PROPOSAL

The following link directs to Cost Proposal submitted in response to the procurement (RFQ 32101-15557) resulting in Contract award:

<http://tn.gov/assets/entities/tenncare/attachments/NegotiatedCostWorkbook.xlsx>

Key Positions (Hourly Rates for DDI Tasks)		Hourly Rate
1	Account Executive or Program Executive	\$ 405.44
2	DDI Manager	\$ 276.65
3	Technical Solution Lead	\$ 362.51
4	Business Solution Lead	\$ 362.51
5	Quality Assurance/Control Lead	\$ 372.05
6	OCMT Liaison	\$ 362.51
7	Project Management Office (PMO) Manager	\$ 143.10
8	Infrastructure Architect	\$ 248.03
9	Configuration & Assets Manager	\$ 248.03
10	Security Manager	\$ 248.03
11	CIP Manager	\$ 248.03
12	Database Architect	\$ 190.79
13	Conversion Manager	\$ 248.03
14	Application Architect	\$ 248.03
15	SOA Architect	\$ 248.03
Non Key Roles (Hourly Rates for DDI Tasks)		Hourly Rate
1	Business Analyst	\$ 181.26
2	Senior Business Analyst	\$ 214.64
3	Database Administrator	\$ 119.25
4	Conversion Architect/Programmer	\$ 143.10
5	Technical Solution Architect	\$ 143.10
6	IT Service Continuity Analyst	\$ 119.25
7	Interface Lead	\$ 214.64
8	Privacy/Compliance Specialist	\$ 171.72
9	Quality Assurance Test Manager	\$ 248.03
10	QA Analyst 3 – Leads	\$ 181.26
11	QA Analyst 2	\$ 152.64



	QA Analyst 1	\$ 114.48
	Change Manager	\$ 143.10
14	Service Architect	\$ 267.11
15	Management and Administrative Support	\$ 90.63
16	Process Analyst	\$ 267.11
17	Technical Writer	\$ 119.25
18	Performance Analyst/Capacity Planning Analyst	\$ 248.03
19	Security Architect	\$ 267.11
20	Senior Security Analyst	\$ 209.87
21	Senior Security Engineer	\$ 209.87
22	Security Analyst	\$ 181.26
23	Programmer Analyst	\$ 92.54
24	Principal Systems Security Officer (SSO)	\$ 362.51
25	Web Portal Specialists	\$ 104.94
26	Senior (Web) Programmer Analyst	\$ 119.25
27	Technical Specialist Application and Web Platforms	\$ 119.25
28	Output Document Programmer	\$ 104.94
Additional Roles (Hourly Rates for DDI Tasks)		Hourly Rate
1	QA Partner	\$ 405.44
2	Trainer	\$ 133.56
3	OCM Analyst	\$ 152.64
4	Security Director	\$ 405.44
5	Security Senior Manager	\$ 362.51
6	Scanning Resource	\$ 85.86
7	CMS Compliance Resource	\$ 162.18
8	OCMT SME	\$ 171.72
Key Positions (Hourly Rates for O&M Tasks)		Hourly Rate
1	Configuration & Assets Manager	\$ 238.89
2	Service Desk, Production Control & Operations Center Manager	\$ 257.26
3	Security Manager	\$ 238.89
4	CIP Manager	\$ 238.89
Non Key Roles (Hourly Rates for O&M Tasks)		Hourly Rate
1	Database Administrator	\$ 114.85
2	Quality Assurance Test Manager	\$ 238.89
3	QA Analyst 3 – Leads	\$ 174.57



	QA Analyst 2	\$ 147.01
	QA Analyst 1	\$ 110.26
6	Change Manager	\$ 137.82
7	Service Architect	\$ 257.26
8	Management and Administrative Support	\$ 87.29
9	Process Analyst	\$ 257.26
10	Operations Analyst (Service Desk)	\$ 110.26
11	Senior Operations Analyst (Service Desk)	\$ 257.26
12	Senior Security Analyst	\$ 202.13
13	Security Analyst	\$ 174.57
14	Programmer Analyst	\$ 89.12
15	Incident/Problem Manager	\$ 183.76
16	IT Engineer/Systems Monitoring Analyst	\$ 114.85
17	Output Document Manager	\$ 206.73
18	Output Document Programmer	\$ 101.07
Additional Roles (Hourly Rates for O&M Tasks)		Hourly Rate
1	Security Director	\$ 390.49
2	Security Senior Manager	\$ 349.14
3	CMS Compliance Resource	\$ 156.20
4	Project Director	\$ 390.49
Non Key Roles (Hourly Rates for Enhancement Tasks)		Hourly Rate
1	Business Analyst	\$ 150.00
2	Senior Business Analyst	\$ 225.00
3	QA Analyst 3 – Leads	\$ 190.00
4	QA Analyst 2	\$ 160.00
5	QA Analyst 1	\$ 100.00
6	Programmer Analyst	\$ 74.00
7	Output Document Programmer	\$ 90.00
Key Positions (Hourly Rates for O&M Effort - Extension Years)		Hourly Rate
1	Configuration & Assets Manager	\$ 271.57
2	Service Desk, Production Control & Operations Center Manager	\$ 286.12
3	Security Manager	\$ 271.57
4	CIP Manager	\$ 286.12
Non Key Roles (Hourly Rates for O&M Effort - Extension Years)		Hourly Rate
1	Database Administrator	\$ 128.03



	Quality Assurance Test Manager	\$ 276.42
	QA Analyst 3 – Leads	\$ 202.71
4	QA Analyst 2	\$ 170.70
5	QA Analyst 1	\$ 128.03
6	Change Manager	\$ 174.58
7	Service Architect	\$ 290.00
8	Management and Administrative Support	\$ 102.81
9	Process Analyst	\$ 286.12
10	Operations Analyst (Service Desk)	\$ 128.03
11	Senior Operations Analyst (Service Desk)	\$ 286.12
12	Security Analyst	\$ 189.13
13	Programmer Analyst	\$ 104.75
14	Incident/Problem Manager	\$ 203.68
15	IT Engineer/Systems Monitoring Analyst	\$ 129.00
16	Output Document Manager	\$ 227.92
17	Output Document Programmer	\$ 116.39
Additional Roles (Hourly Rates for O&M Effort – Extension Years)		Hourly Rate
1	Security Director	\$ 412.20
2	Security Senior Manager	\$ 368.56
3	CMS Compliance Resource	\$ 174.58
4	Project Director	\$ 412.20