

**Amendment 7 to RFP 2013-CMFD-01**

NOTE THE FOLLOWING AND ATTACHED ADDITIONS, DELETIONS AND/OR CHANGES TO THE REQUIREMENTS FOR THE REQUEST FOR PROPOSAL NUMBER: 2013-CMFD-01. THIS AMENDMENT MUST BE INCLUDED IN THE VENDOR'S RESPONSE AND MEET THE REQUIREMENTS AS DEFINED IN THE RFP.

THE VENDOR MUST SIGN AND RETURN THIS AMENDMENT WITH THEIR PROPOSAL.

Cover page to RFP2013-CMFD-01 updated to reflect the new due date for the RFP as: May 5, 2014 by 5pm Central Daylight Time



## ALABAMA MEDICAID AGENCY REQUEST FOR PROPOSALS

<b>RFP Number:</b> 2013-CMFD-01	<b>RFP Title:</b> Advanced Fraud Detection and Case Management System	
<b>RFP Due Date and Time:</b> May 5, 2014 by 5pm Central Daylight Time		<b>Number of Pages:</b> 58
<b>PROCUREMENT INFORMATION</b>		
<b>Project Director:</b> Jacqueline G. Thomas		<b>Issue Date:</b> October 07, 2013
<b>Phone:</b> (334) 242-5318 <b>E-mail Address:</b> <a href="mailto:jacqueline.thomas@medicaid.alabama.gov">jacqueline.thomas@medicaid.alabama.gov</a> <b>Website:</b> <a href="http://www.medicicaid.alabama.gov">http://www.medicicaid.alabama.gov</a>		<b>Issuing Division:</b> Program Integrity
<b>INSTRUCTIONS TO VENDOR</b>		
<b>Return Proposal to:</b> Tobias Mense Center for Advanced Technologies Auburn Montgomery 400 S. Union St., Suite 335 Montgomery, AL 36104		<b>Mark Face of Envelope/Package:</b>
		RFP Number: 2013-CMFD-01 RFP Due Date: May 5, 2014 by 5pm CDT <b>TOTAL 3 Year Life-Cycle Cost (From Attachment P):</b>
<b>VENDOR INFORMATION</b>		
<i>(Vendor must complete the following and return with RFP response. Use this form as the Cover Sheet.)</i>		
<b>Vendor Name/Address:</b>	<b>Authorized Vendor Signatory:</b> (Please print name and sign in ink)	
<b>Vendor Phone Number:</b>	<b>Vendor FAX Number:</b>	
<b>Vendor Federal I.D. Number:</b>	<b>Vendor E-mail Address:</b>	

I. Section VI. Submission Requirements, page 23, add the following:

**Q. Disclaimer**

All statistical and fiscal information contained in the RFP and its exhibits, including amendments and modifications thereto, reflect the most accurate information available to the Agency at the time of RFP preparation. No inaccuracies in such data shall constitute a basis for an increase in payments to the Vendor, a basis for delay in performance, nor a basis for legal recovery of damages, either actual, consequential or punitive except to the extent that such inaccuracies are shown by clear and convincing evidence to be the result of intentional misrepresentation by the Agency.

**R. News Releases**

News Releases pertaining to this RFP or its resulting Contract shall not be made without prior written approval of the Agency.

**S. Proration**

In the event of proration of the funds from which payment under this Contract is to be made, this Contract may be subject to termination.

**T. Proposal Withdrawal**

The Vendor may withdraw a submitted Proposal at any time. To withdraw a Proposal, the Vendor must submit a written request, signed by a Vendor's representative authorized to sign the resulting Contract, to the RFP Project Director. After withdrawing a previously submitted Proposal, the Vendor may submit another Proposal at any time up to the deadline for submitting Proposals, as detailed in Section B, Schedule of Events.

**U. Proposal Amendment**

The Agency will not accept any amendments, revisions, or alterations to Proposals after the deadline for Proposal submittal unless such is formally requested, in writing, by the Agency.

**V. Proposal Errors**

The Vendor is liable for all errors or omissions contained in their Proposals. The Vendor will not be allowed to alter Proposal documents after the deadline for submitting a Proposal. If the Vendor needs to change a previously submitted Proposal, the Vendor must withdraw the entire Proposal and may submit the corrected Proposal before the Deadline for Submitting Proposals as defined in Section B.

**W. Proposal Clarifications**

The Agency reserves the right to request clarifications with any or all Vendors if they are necessary to properly clarify compliance with the requirements of this RFP. The Agency will not be liable for any costs associated with such clarifications. The purpose of any such clarifications

will be to ensure full understanding of the Proposal. Clarifications will be limited to specific Sections of the Proposal identified by the Agency. If clarifications are requested, the Vendor shall put such clarifications in writing within the specified time frame.

## **X. Disclosure of Proposal Contents**

Proposals and supporting documents are kept confidential until the evaluation process is complete and a Vendor has been selected. The Vendor should be aware that any information in a Proposal may be subject to disclosure and/or reproduction under Alabama law. **Designation as proprietary or confidential may not protect any materials included within the Proposal from disclosure if required by law.** The Vendor should mark or otherwise designate any material that it feels is proprietary or otherwise confidential by labeling the page as “CONFIDENTIAL” on the bottom of the page. The Vendor shall also state any legal authority as to why that material should not be subject to public disclosure under Alabama open records law and is marked as Proprietary Information. By way of illustration but not limitation, “Proprietary Information” includes trade secrets, inventions, mask works, ideas, processes, formulas, source and object codes, data, programs, other works of authorship, know-how, improvements, discoveries, developments, designs and techniques.

Information contained in the Cost Proposal Section may not be marked confidential. It is the sole responsibility of the Vendor to indicate information that is to remain confidential. The Agency assumes no liability for the disclosure of information not identified by the Vendor as confidential. If the Vendor identifies its entire Proposal as confidential, the Agency may deem the Proposal as non-responsive and may reject it.

### **II. Section I. Offer in Effect for 90 Days, page 25, change as follows:**

#### **I. Offer in Effect for 180 Days**

A proposal may not be modified, withdrawn or canceled by the Vendor for a 180-day period following the deadline for proposal submission as defined in the Schedule of Events, or receipt of best and final offer, if required, and the Vendor so agrees in submitting the proposal.

### **III. Section VI. L. Price, page 26, change as follows:**

The Cost Proposal will be used as the primary representation of the Vendor’s cost/price, and will be used during the Proposal evaluation. Additional information should be included as necessary to explain in detail the Vendor’s cost/price. The Agency will only accept firm and fixed cost Proposals for this project. No time-and-materials Proposals will be considered. Pricing is to be the best and final price.

The Vendor must use Attachment P - Cost Proposal Template I and Attachment Q – Cost Proposal Template II of this Amendment to submit proposed costs. Cost Proposal Template I and Cost Proposal Template II must be signed by a company officer empowered to bind the Vendor to the provisions of this RFP and any Contract awarded pursuant to it.

The Vendor must base their cost estimation on the following criteria:

1. 50 users
2. 10 Administrators

The Vendor must use the appropriate Cost Proposal(s) depending on the proposed Hosting Model(s) described.

IV. Section M. Submission of Proposals, page 26, change as follows:

The Vendor may submit multiple proposals in response to this RFP as a Prime Vendor. The Agency is interested in three platform models or solutions. The Vendor must bid on one or more of the platform models, but each requires a separate RFP. A single Proposal must contain one proposed solution for each of the platforms or models:

- 1) Vendor Hosted (SaaS), where the price is based on an enterprise or cost per seat basis (annual or monthly),
- 2) State Hosted, where the State purchases or licenses the recommended software, and where both the software and database are stored on State provided servers with the State monitoring and managing both the application and servers,
- 3) Vendor Managed Services, where the State hosts the application and databases but the Vendor monitors and manages both the application and servers.

Each model must contain a single solution, including all software and professional services. If a Vendor desires to submit a separate proposal with another model, the Vendor may do so by submitting another complete RFP response. Such proposals must be submitted as a complete packet under separate cover. As an example, a Vendor may submit a SaaS proposal using one software package and the same Vendor may submit an almost identical separate State Hosted proposal using another software package.

The Vendor is allowed to submit a proposal in response to this RFP as a Prime Vendor and participate in other proposals as a Subcontractor. There is no limitation regarding the number of proposals naming a Vendor as a Subcontractor.

Joint ventures are not acceptable in response to this RFP. If multiple Vendors are proposing to jointly perform the project, the Proposal must be submitted in the form of a Prime Contractor/Subcontractor(s) arrangement.

Proposals must be sealed and labeled on the outside of the package to clearly indicate that they are in response to 2013-CMFD-01. Proposals must be sent to the address on the RFP Coversheet (page 2 of this amendment) and received at the Agency as specified in the Schedule of Events. It is the responsibility of the Vendor to ensure receipt of the Proposal by the deadline specified in the Schedule of Events.

V. Section N. Copies Required, page 26, change as follows:

The Vendor must submit one (1) hardcopy Proposal and three (3) softcopy Proposals on CD/DVD or USB flash drive of the entire Proposal to the Agency clearly marked:

**“Proposal in Response to RFP 2013-CMFD-01 - Do Not Open”**

The hardcopy Proposal must be one (1) complete copy with original signatures in ink.

The softcopy CD/DVD or USB flash drive of the Proposal must contain the following:

- One (1) complete copy of the Proposal in searchable Adobe Acrobat PDF format
- One (1) complete copy of the Proposal in Microsoft Word 2007 or later format
- One (1) redacted copy of the Proposal in Adobe Acrobat PDF format with all material marked confidential removed
- Each Vendor must provide all attachments in Microsoft Word 2007 or later format or Acrobat PDF format
- Each Detailed Line Item Report in Microsoft Excel 2007 or later format

VI. Section VII. A. Initial Classification of Proposals as Responsive or Non-responsive, page 26, change as follows:

All Proposals will be initially reviewed to determine compliance with basic Proposal requirements as specified in the RFP. If the the Proposal may be missing one or more such requirements, the RFP Evaluation Committee shall review the Proposal to determine whether:

- a. the Proposal meets requirements for further evaluation; or
- b. the Agency shall request further clarification(s) or corrections; or
- c. the Agency shall determine the Proposal non-responsive and reject it.

VII. Section VII. B. Determination of Responsibility, page 26, change as follows:

Section deleted.

VIII. Section VIII. C. Term of Contract, page 28, change as follows:

The initial contract term shall be for three years. Alabama Medicaid shall have two, one-year options for extending this contract if approved by the Legislative Contract Review Oversight Committee. At the end of the contract period Alabama Medicaid may at its discretion, exercise the extension option and allow the period of performance to be extended at the rate indicated on the RFP Cover Sheet. The Vendor will provide pricing for each year of the contract, including

any extensions. Contractor acknowledges and understands that this contract is not effective until it has received all requisite state government approvals and Contractor shall not begin performing work under this contract until notified to do so by Medicaid. Contractor is entitled to no compensation for work performed prior to the effective date of this contract.

IX. Section VIII. R. Employment of Unauthorized Aliens, page 32, change as follows:

**R. Immigration Compliance**

Contractor will not knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama. Contractor shall comply with the requirements of the Immigration Reform and Control Act of 1986 and the Beason- Hammon Alabama Taxpayer and Citizen Protection Act (Ala, Act 2012- 491 and any amendments thereto) and certify its compliance by executing Attachment G. Contractor will document that the Contractor is enrolled in the E-Verify Program operated by the US Department of Homeland Security as required by Section 9 of Act 2012-491. During the performance of the Contract, the contractor shall participate in the E-Verify program and shall verify every employee that is required to be verified according to the applicable federal rules and regulations. Contractor further agrees that, should it employ or contract with any Subcontractor(s) in connection with the performance of the services pursuant to this Contract, that the Contractor will secure from such Subcontractor(s) documentation that Subcontractor is enrolled in the E-Verify program prior to performing any work on the project. The Subcontractor shall verify every employee that is required to be verified according to the applicable federal rules and regulations. This subsection shall only apply to Subcontractors performing work on a project subject to the provisions of this section and not to collateral persons or business entities hired by the Subcontractor. Contractor shall maintain the Subcontractor documentation that shall be available upon request by the Alabama Medicaid Agency .

Pursuant to Ala. Code §31-13-9(k), by signing this Contract, the contracting parties affirm, for the duration of the agreement, that they will not violate federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the state of Alabama. Furthermore, a contracting party found to be in violation of this provision shall be deemed in breach of the agreement and shall be responsible for all damages resulting therefrom.

Failure to comply with these requirements may result in termination of the agreement or subcontract.

X. RFP Appendix A: Proposal Compliance Checklist, page 36, change as follows:

Section deleted.

XI. Amendment 5, Section P.1. Transmittal Letter, add the following:

k. A statement that the Vendor acknowledges and complies that the Vendor has a continuing obligation to disclose any change of circumstances that will affect its

qualifications as a Vendor. The Agency reserves the right to review and approve any additions or removal of Subcontractors, although such approval will not be unreasonably withheld.

XII. Amendment 5, Section P.3.a. Corporate Background change as follows:

To evidence the Vendor's experience in delivering services similar to those required by this RFP, the Corporate Background Section must reference and respond to the following subsections in sequence and include corresponding documentation as required.

The Vendor must:

1. Describe the corporate history and relevant experience of the Vendor and any Subcontractors;
2. Detail information on the ownership of the company (names and percent of ownership);
3. Number of years in business;
4. A brief statement of how long the Vendor has been performing the services required by this RFP;
5. List location of offices which will be used to perform services procured under this RFP;
6. Describe the number of employees and client base;
7. A statement as to whether any Vendor's employees to be assigned to this project have been convicted of, pled guilty to, or pled nolo contendere to any felony; and if so, an explanation providing relevant details;
8. A statement from the Vendor's counsel as to whether there is pending litigation which would impair the Vendor's performance in a Contract under this RFP;
9. A statement as to whether, in the last ten (10) years, the Vendor has filed (or had filed against it) any bankruptcy or insolvency proceeding, whether voluntary or involuntary, or undergone the appointment of a receiver, trustee, or assignee for the benefit of creditors; and if so, an explanation providing relevant details;
10. A statement as to whether the Vendor has ever been disqualified from competition for government contracts because of unsatisfactory performance on contracts; and if so, an explanation providing relevant details;
11. A detailed statement of relevant fraud detection experience in the public sector within the last five (5) years. The narrative in response to this Section must thoroughly describe the Vendor's experience with providing the services sought under this RFP. In this Section, the Vendor may also provide sample documents describing the Vendor's experience; and
12. A detailed description of any experience with Federal requirements for Medicaid programs and/or Medicaid Management Information Systems, or other Federal programs such as HIPAA, FDA, or related service areas.

If Subcontractors are proposed, the Vendor shall be responsible for ensuring the timeliness and quality of all work performed by Subcontractors. If no Subcontractors will be proposed, the Vendor must indicate so in this Section.

For each proposed Subcontractor, the Vendor must:

1. State Subcontractor firm name;
2. State the percentage of total project and task-specific work the Subcontractor will be providing based upon proposed cost;
3. Provide a written statement signed by the Subcontractor that clearly verifies that the Subcontractor is committed to render the services required by the Contract;
4. Describe the corporate history and relevant experience of the Subcontractor
5. Detail information on the ownership of the Subcontractor (names and percent of ownership);
6. Number of years in business;
7. A brief statement of how long the Subcontractor has been performing the services required by this RFP;
8. List location of offices which will be used to perform services procured under this RFP;
9. Describe the number of employees and client base of the Subcontractor;
10. A statement as to whether any Subcontractor's employees to be assigned to this project have been convicted of, pled guilty to, or pled nolo contendere to any felony; and if so, an explanation providing relevant details;
11. A statement from the Subcontractor's counsel as to whether there is pending or current litigation which would impair Subcontractor's performance in a Contract under this RFP;
12. A statement as to whether, in the last ten (10) years, the Subcontractor has filed (or had filed against it) any bankruptcy or insolvency proceeding, whether voluntary or involuntary, or undergone the appointment of a receiver, trustee, or assignee for the benefit of creditors and if so, an explanation providing relevant details;
13. A statement as to whether the Subcontractor has ever been disqualified from competition for government contracts because of unsatisfactory performance on contracts; and if so, an explanation providing relevant details;
14. A detailed statement of relevant fraud detection experience in the public sector within the last five (5) years. The narrative in response to this Section must thoroughly describe the Subcontractor's experience with providing the services sought under this RFP. In this Section, the Subcontractor may also provide sample documents describing the Subcontractor's experience; and
15. A detailed description of any experience with Federal requirements for Medicaid programs and/or Medicaid Management Information Systems, or other Federal programs such as HIPAA, FDA, or related service areas.

XIII. Amendment 5, Section P.3.b Corporate Experience, change as follows:

Section deleted.

XIV. Amendment 5, Section P.3.c References, change as follows:

The Vendor shall provide three (3) references of similar size and scope for which the Vendor served as the contractor, within the last three (3) years. These references can be from the private, non-profit, or government sectors in area of healthcare insurance.

The Vendor must use and submit Attachment H for each reference.

In addition, for each Subcontractor proposed, the Vendor shall provide three (3) references of similar size and scope for which the Subcontractor served as the contractor, preferably within the last three (3) years. These references can be from the private, non-profit, or government sectors in area of healthcare insurance.

The Vendor must use and submit Attachment H for each Subcontractor reference.

XV. Amendment 5, Section P.3. Corporate Background and Experience, add the following:

d. Financial Stability

In this Section, the Vendor is required to provide documentation of financial responsibility and stability; said documentation must include:

1. A letter signed by an Executive Member of the Vendor's organization, such as the Chief Executive Officer, or Chief Financial Officer, or by a company officer empowered to bind the Vendor to the provisions of this RFP, and any Contract awarded pursuant to it attesting that the information provided pursuant to this Section is to his/her knowledge correct and complete.
2. Audited financial statements of the Vendor prepared in conformity with Generally Accepted Accounting Standards of the United States for most recent three (3) years to include:
  - Opinion of certified public accountants
  - Balance sheets
  - Income statements
  - Cash flow statements
  - Changes in shareholders' equity statements
  - All notes pertaining to such financial statements
  - Management's discussion and analysis of such financial statements

Due to the length of audited financial statements, the Agency will accept a softcopy as a response to this Section from the Vendor that must conform with the RFP requirements. The Vendor shall clearly identify the file name and location on the submitted softcopy referenced in their hardcopy response to this Section.

3. The percentage of the Vendor's revenue and profits from providing the type of services to be performed requested in this RFP.
4. Copy of the Vendor's most recent certificate of insurance indicating a minimum of \$1,000,000 of general liability coverage for each occurrence.
5. Documentation of the most recent credit rating determined by an accredited credit bureau, such as Dun and Bradstreet, Moody's, Standard and Poor's, etc.
6. Statement signed by the Chief Executive Officer or Chief Financial Officer or by a company officer empowered to bind the Vendor to the provisions of this RFP and any Contract awarded pursuant to stating that the Vendor has no significant unrecorded contingent liabilities that could affect the company's financial viability. Contingent liabilities are considered significant if, in the aggregate they total 10% or more of the Vendor's stockholders' equity. If significant contingent liabilities exist details must be provided concerning the nature and amount of such contingent liabilities.
7. Statement from the Vendor indicating that the Vendor is current on all taxes (federal, state, local) including, but not limited to, taxes on income, sales, property, etc.
8. For Subcontractors providing thirty percent (30%) or more of the scope of services, the Subcontractor is required to submit the same financial stability information as the Vendor.

XVI. Amendment 5, Section P.4. Project Organization and Staffing, change as follows:

The Vendor must provide the following information for the staff to be assigned to the Agency for the duration of Contract time.

a. Project Organizational Chart

The Vendor shall provide a project organizational chart that, at a minimum, identifies each key position. The Agency reserves the right to interview and approve the individuals assigned to those positions, as well as to approve any later reassignment or replacement, although such approval will not be unreasonably withheld. For each position shown in the project organizational chart, the following must be provided:

1. Title;
2. Designation as a Key or Non-Key position. The Project Manager and individuals leading teams would be considered Key. Senior technical positions will also be Key, and any other positions where the sudden departure of the incumbent would affect the team's ability to stay on schedule;

3. Description of project role and responsibilities;
4. Percentage of time to be assigned; and
5. Percentage of time to be spent onsite.

b. Key Positions

At a minimum, the Key Positions must include the roles of a Project Manager and a Technical Architect. Though the Vendor may use different position titles, the Vendor must clearly specify which is the Project Manager and the Technical Architect (or clearly described equivalent). The Vendor must affirm that the Key Position if needed shall be able to meet with the Agency either in person, teleconference, webinar, or any other way deemed satisfactory to the Agency through the duration of this project.

For each position designated as a Key position, the Vendor shall provide:

1. Description of project role and responsibilities;
2. Completed Key Position Resume Sheet for each individual as provided in Attachment O;
3. Designation of the individual as a Contract employee (compensation paid by an organization other than the Vendor submitting this Proposal) or staff (compensation paid by the Vendor submitting this Proposal);

c. Staffing Time

The Vendor shall indicate the normal time required to start work after a Contract is awarded and provide assurances as to the availability of staff for Key positions within that timeframe. The Vendor must also indicate the normal timeframe for filling Non-Key positions.

d. Employment Certification

By submission of this information, the Vendor is certifying that the individuals submitted are currently employed within the Vendor's organization or have been contacted by the Vendor and have agreed to join the Vendor's organization upon Contract award. The Agency reserves the right to contact and/or interview submitted personnel prior to Contract award, and the Agency reserves the right to approve or reject such personnel.

XVII. Amendment 5, Section P.5. Methodology, change as follows:

Section deleted. Replaced by XVIII.

XVIII. Amendment 5, Section P.6. Project Management and Control, change as follows:

Section deleted. Replaced by XVIII.

XIX. Amendment 5, Section P.7. Work Plan and Schedule, change as follows:

Section deleted. Replaced by XVIII.

XX. Amendment 5, add the following:

## **P.5. Solution Description**

### **P.5.1 Overall Solution Description**

The Vendor must provide a high-level narrative describing the proposed solution and its implementation. The narrative should provide a concise summary of the services and deliverables being offered to meet the requirements of this RFP, the Vendor's approach to providing the services, and justification as to why the Vendor is the best qualified to provide services.

### **P.5.2 Detailed Solution Description**

The Vendor must provide a detailed narrative describing how the proposed solution will address the Advanced Fraud Detection and Case Management System Requirements including how the various business processes will flow and how solution components will coordinate with one another. Such description may include sample screen prints, sample reports, or descriptions of advanced analytics.

The Vendor must address each of the following separately:

- a) Basic Business Rules for Advanced Detection
- b) Basic Business Rules for Case Management
- c) Workflow Management
- d) Compatibility and Integration
- e) Document Management
- f) Reporting
- g) Security

In addition, the Vendor must acknowledge and comply with the following:

- h) The System must be configurable, scalable, flexible, reliable, manageable, and capable of interfacing with other Agency systems.
- i) The solution for advanced detection must access claims and reference table information that comes from the Agency's MMIS. The MMIS contains claims data as well as provider, recipient, and other reference tables. The advanced detection solution must interface with the case management system by producing potential leads of abuse and fraud.

## **P.6. Advanced Fraud Detection and Case Management Requirements**

The Vendor must complete Attachment K –Advanced Fraud Detection and Case Management System Requirements. The Vendor must respond to each requirement by marking one of the three provided response columns:

**Met without modification** – The solution proposed by the Vendor meets the specification and is functional at the time the proposal is submitted.

**Met with modifications** – The solution proposed by the Vendor at the time the proposal is submitted fails to meet the specification. However, the Vendor believes that through enhancement, modification or customization to the solution the specification will be met. The selection of “Met with modifications” requires a narrative be added to the comment section of the specification explaining the limitation and approach to resolve. If an enhancement to the solution is proposed, a target release date for the enhancement is requested. Any proposed modification costs must be included in the cost proposal.

**Not Met** – The solution proposed by the Vendor does not and will not meet the specification

## **P.7. Alignment with CMS Conditions and Standards**

The Vendor must describe its solution alignment with the following CMS Seven Conditions and Standards.

The Vendor must address each of the following separately:

1. Modularity Condition - Use of a modular, flexible approach to systems development, including the use of open interfaces and exposed application programming interfaces; the separation of business rules from core programming; and the availability of business rules in both human and machine readable formats.
2. MITA Condition - Align to and advance increasingly in MITA maturity for business, architecture, and data.
3. Industry Standards Condition - Ensure alignment with, and incorporation of, industry standards: the Health Insurance Portability and Accountability Act of 1996 security, privacy and transaction standards; accessibility standards established under section 508 of the Rehabilitation Act, or standards that provide greater accessibility for individuals with disabilities, and compliance with Federal civil rights laws; standards adopted by the Secretary under section 1104 of the Affordable Care Act; and standards and protocols adopted by the Secretary under section 1561 of the Affordable Care Act.
4. Leverage Condition - Promote sharing, leverage, and reuse of Medicaid technologies and systems within and among States.

5. Business Results Condition - Support accurate and timely processing of claims (including claims of eligibility), adjudications, and effective communications with providers, beneficiaries, and the public.
6. Reporting Condition - Produce transaction data, reports, and performance information that would contribute to program evaluation, continuous improvement in business operations, and transparency and accountability.
7. Interoperability Condition - Ensure seamless coordination and integration with the Exchange (whether run by the state or federal government), and allow interoperability with health information exchanges, public health agencies, human services programs, and community organizations providing outreach and enrollment assistance services.

## **P.8. Project Management**

The Vendor's Project Management response shall include details of the methodology to be used in management and control of the project, project activities, and progress reports. Specific explanation must be provided if solutions vary from one phase to another.

The Vendor must:

- a) Describe the formal Project Management methodology to be used.
- b) Describe the proposed project team's experience in regards to a structured Project Management methodology.
- c) Describe the Vendor's mechanism to track the progress of project activities.
- d) Describe the Management of performance standards, milestones and/or deliverables.
- e) Provide a high level assessment of project risks and the proposed approach to managing them.
- f) Describe internal quality control monitoring procedures.
- g) Describe the Vendor's methods to estimate manpower and time.
- h) Describe a proposed communication plan to detail how the Vendor will communicate with stakeholders, the Project Management Office, and the development team.
- i) Describe how the Vendor will monitor and report the project status to the PMO.
- j) Provide a proposed project plan to be used in completing this project. The description of the project plan must include but is not limited to the following items:
  1. Summary of the overall plan
  2. Description of necessary relationships between the Vendor, Subcontractors and Agency personnel to include:
    - i. Gantt chart which describes assignments, who will perform them and when they will be performed, to include completion dates

- ii. Estimated time requirements for all Agency employees corresponding to the Gantt chart (assume a 5 day review for deliverables)
3. Preliminary project timelines and milestones
4. Any assumptions or constraints identified by the Vendor, both in developing the work plan and in completing the work plan.

## **P. 9 Data Analysis**

The Vendor must provide a detailed analysis of the Medicaid data previously provided by the Agency. The Vendor must develop and include with the response, algorithms in the following program areas:

- Durable Medical Equipment
- Rehabilitative Services – DHM(Department of Mental Health)
- Pharmacy
- Independent Laboratory

The Vendor must use the following attachments providing further details regarding the Medicaid policy used and the format for the logic and detail line item report for each algorithm.

- Attachment L – Titles and References for Algorithm Logic;
- Attachment M – Algorithm Logic; and
- Attachment N – Detailed Line Item Report

The Vendor must refer to the appropriate chapter in the *Alabama Medicaid Provider Manual* when developing algorithm logic specific to each program area. Below is a link to the Agency's website where the manual may be accessed. The Vendor must utilize policy specific to the dates of service of the analyzed claims.

[http://www.medicaid.alabama.gov/CONTENT/6.0\\_Providers/6.7\\_Manuals.aspx](http://www.medicaid.alabama.gov/CONTENT/6.0_Providers/6.7_Manuals.aspx)

The Vendor must include the title of the algorithm, dates of service, and the total amount of potential overpayments identified in the heading of each Detailed Line Item Report. The Vendor must provide each Detailed Line Item Report as an Excel Spreadsheet as part of the softcopy Proposal. The softcopies of the Detailed Line Item Reports must follow the format outlined in Attachment N – Detailed Line Item Report.

## **P. 10 Testing**

The Vendor must develop and implement a comprehensive framework for testing, including the functional design, security testing, and technical architecture developed during the design phase. The objective should be to achieve a high level of quality by effectively covering operational, security, and technical considerations within a systematic and rigorous testing approach. Several

types of testing must be explicitly addressed during the project. They may include unit, integration, volume/stress, security, and system/performance testing.

Upon completion of integration testing by the Vendor, the system must be subjected to acceptance testing by the Agency Project Team. Acceptance testing will verify actual system operations are measured against performance criteria and functional specifications as described in the detail design and Contract specifications.

The Agency project team, with the assistance of the Vendor, will develop a detailed test plan that will guide and control the system acceptance testing process. The major components of the acceptance test will be described with necessary standards, procedures and guidelines. The plan will identify every software module to be tested, its type (batch, on-line, interactive, etc.) and technical environment. If separate libraries will be required for testing purposes, these libraries will be documented, along with any constraints or considerations governing their availability or usage. Test cases, test transactions and predicted outcomes will be developed for each condition to be tested. These may be reviewed with the Vendor for completeness.

The Vendor must:

- a) Describe a typical testing framework and methodology used by the Vendor to achieve the described testing procedures.
- b) Provide a Master Test Plan as described above.
- c) Provide a narrative describing how the Vendor typically provides the various levels of testing as outlined in this Section.
- d) Provide a narrative describing how the Vendor will perform Stress testing and Volume Testing as outlined in this Section.
- e) Describe how the Vendor plans to perform the User Acceptance Testing process as described above.
- f) Describe the methodology or system the Vendor plans to use to document, manage, mitigate, and communicate testing errors, defects, fixes, etc., to the Agency and/or end-user(s).

## **P. 11 Reporting and Documentation**

The Vendor must:

- a) Describe the Vendor's guidelines and standards for documentation.
- b) Describe the types of deliverables typically performed as part of the requested services.
- c) Provide a sample of a weekly status report as described in II. Scope of Work, Section C6. Reporting.
- d) Provide a sample of a monthly status report as described in II. Scope of Work, Section C6. Reporting.
- e) Provide a sample of an ad-hoc status report as described in II. Scope of Work, Section C6. Reporting.

- f) Provide a sample of an annual report as described in II. Scope of Work, Section C6. Reporting.
- g) Provide a strategy and methodology for collection and reporting of Project Lessons Learned.

### **P. 12 Training**

The Vendor must:

- a) Describe the Vendor's standard methodology for knowledge transfer including objective measures to determine whether there has been sufficient knowledge transfer to the Agency.
- b) Describe recommended training sessions. The description must include topics, targeted audience (technical support, end user, etc.) and recommended content.
- c) Describe typical training documentation and user manuals that would be developed and transferred to the Agency.

### **P. 13 Agency Staffing**

Resulting from this RFP, the Agency anticipates developing a project team that will support the Vendor in the implementation of the project. Such staffing could include technical staff as well as fraud detection staff.

The Vendor must:

- a) Provide a chart outlining staffing requirements for the Agency that the proposed solutions would require. The chart must indicate titles as well as the number of personnel needed.
- b) Describe for each listed staff the anticipated roles and responsibilities as well as any minimum qualifications required and time commitment for each listed staff.

### **P. 14 Customer Support**

The Vendor shall describe their overall approach to providing customer support including personnel assignments, hours of availability, methods of access to personnel and account information, and response times.

At a minimum, customer support must include the following features:

- Toll-free customer assistance
- 24/7 toll-free emergency assistance.
- Fax number(s)
- E-mail accessibility

### **P. 15 Hosting Models**

The Vendor must respond to this RFP with one or more of the following hosting models:

- 1) Vendor Hosted (SaaS), where the price is based on an enterprise or cost per seat basis (annual or monthly)
- 2) State Hosted, where the State purchases or licenses the recommended software, and where both the software and database are stored on State provided servers with the State monitoring and managing both the application and servers
- 3) Vendor Managed Services, where the State hosts the application and databases but the Vendor monitors and manages both the application and servers

Each model must contain a single solution, including all software and professional services.

The Vendor must respond to the following requirements depending on the proposed hosting model.

- 1) Vendor Hosted (SaaS)
  - a. The Vendor must provide a detailed description of the proposed Vendor Hosted (SaaS) solution.
  - b. The Vendor must provide a Benefits Analysis detailing the advantages and disadvantages to the Agency for the proposed Vendor Hosted (SaaS) solution.
  - c. Security

The Vendor must provide a detailed description of the following:

- i. Describe the approach for leading the Agency through the process of identifying roles that are applicable for both security and workflow of the proposed Vendor Hosted (SaaS) solution.
- ii. Methods to protect HIPAA and HITECH data from exposure either intentional or unintentional while the data is at rest, in motion or in use.
- iii. Describe how ensuring application security is integrated into the Vendor's development process for the proposed Vendor Hosted (SaaS) solution.
- iv. Describe the process of how a security vulnerability that has been made public or reported to Vendor's internal security team is mitigated.
- v. Describe how the Vendor will notify the Agency in the event of a security breach that results in unauthorized access to HIPAA and HITECH data.
- vi. Describe the proposed Vendor Hosted (SaaS) solution's user permission capabilities.
- vii. Describe the proposed Vendor Hosted (SaaS) solution's authentication capabilities.
- viii. Describe how the proposed Vendor Hosted (SaaS) solution provides end to end encryption of data at rest and in motion.

- ix. Describe any federal, industry, or applicable standards to which the proposed Vendor Hosted (SaaS) solution adheres.

d. Capacity Planning and Performance Tuning:

The Vendor must provide a detailed description of the following:

- i. Describe tools and methodologies used to assess performance tuning and capacity planning of databases, storage, operating systems, etc.
- ii. Describe how the Vendor will determine hardware, software, storage, and resource requirements to meet potential future needs.
- iii. Describe Vendor's experience with capacity planning for data storage, network bandwidth, and server processing capacity. Where data is available, discuss reason(s) for any significant variances between planned capacity and actual requirements. If data is not available, include statement to that effect in the proposal.
- iv. Provide documentation of stress testing results that demonstrates the failure point of concurrent users for a specific configuration and activities of the users.

e. Disaster Recovery

The Vendor must provide a detailed description of the following:

- i. Describe the proposed Vendor Hosted (SaaS) solution's backup and recovery requirements and processes.
- ii. Describe the Operational and Disaster Recovery Documentation typically provided.
- iii. Provide a sample set of Operational and Disaster Recovery Documentation from a previous implementation of the proposed Vendor Hosted (SaaS) solution.
- iv. Describe the Disaster Recovery Plan that will be provided.
- v. Describe the Continuity of Operations Plan that will be provided.
- vi. Provide a sample Disaster Recovery Plan from a previous implementation of the proposed Vendor Hosted (SaaS) solution.
- vii. Provide a sample Continuity of Operations Plan from a previous implementation of the proposed Vendor Hosted (SaaS) solution.
- viii. Describe standard service level agreements used for projects similar in size and scope.

f. Performance Standards

The Vendor must provide a detailed description of the following:

- i. The Vendor shall provide to the Agency a performance warranty for a system uptime of 99% or higher measured over the preceding thirty

- (30) days for the entire Vendor Hosted (SaaS) solution during the Agency core business hours. The Vendor shall also provide their current performance ratings as they relate to system availability.
- ii. The Vendor shall provide to the Agency a performance warranty for a system uptime of 99% or higher measured over the preceding thirty (30) days for the entire Vendor Hosted (SaaS) solution during the Agency non-core business hours. The Vendor shall also provide their current performance ratings as they relate to system availability.

## 2) State Hosted

### Agency Technical Architecture Background

The Agency is a Microsoft centric environment, where its staff rely on an infrastructure dedicated to a Microsoft platform. The Agency relies on a Microsoft Windows Server to host both COTS and custom software within the Agency using both Hyper-V and VMWare. Most of the systems run on Windows Server 2008 R2 Datacenter and Enterprise but some of the newest run on Windows Server 2012 Datacenter and Standard. The Agency relies on Microsoft SharePoint 2010 and Microsoft SQL Server 2008 R2 for storing documents and data within the Agency. The same team has built the Agency's infrastructure on top of a Dell Compellent SAN where over 100TB is currently available for future needs.

The Agency is a Microsoft .Net Development Shop with nearly 60 personnel on staff supporting both COTS and custom developed code. These individuals maintain the Microsoft Windows Server and Desktop environment, the Microsoft Products such as Office, and many other products on the desktop, they manage security through Active Directory and Policy, they patch servers on a routine, manage SQL Server Databases and the server environment as well.

The Agency uses the BI Stack from Microsoft to provide a complete data analytical solution for Business Intelligence including SQL Server databases, SSRS for Reports, SSIS for ETL, and SSAS for building Cubes. They also use Microsoft Excel with many of the native plugins to allow end users to do Self-serve BI against the Microsoft Databases and Cubes.

The Agency uses SSL and Encryption to keep sensitive data secure, both at rest and in transit. HIPAA and HITech rules and guidelines are adhered to within the Agency.

The Agency uses Microsoft Windows Server's IIS to host web applications written in ASP.NET (2.0 – 4.5) that collect data, and display data from the SQL Server back-end.

The Vendor must:

- a. Describe any additional services, if available, that could be used by the Agency during the awarded time of the Contract which could enhance the State Hosted solution for the Agency.
- b. Provide a detailed description of the proposed State Hosted solution.
- c. Provide a Benefits Analysis detailing the advantages and disadvantages to the Agency for the proposed State Hosted solution.
- d. Security

The Vendor must provide a detailed description of the following:

- i. Describe the approach for leading the Agency through the process of identifying roles that are applicable for both security and workflow of the proposed State Hosted solution.
- ii. Methods to protect HIPAA and HITECH data from exposure either intentional or unintentional while the data is at rest, in motion or in use.
- iii. Describe how ensuring application security is integrated into the Vendor's development process for the proposed State Hosted solution.
- iv. Describe the proposed State Hosted solution's user permission capabilities.
- v. Describe the proposed State Hosted solution's authentication capabilities.
- vi. Describe how the proposed State Hosted solution provides end to end encryption of data at rest and in motion.
- vii. Describe your implementation processes and activities required to implement your proposed solution. Such description must include Roles and Responsibilities of implementation staff and typical times to complete.

- e. Capacity Planning and Performance Tuning

The Vendor must provide a detailed description of the following:

- i. Describe tools and methodologies used to assess performance tuning and capacity planning of databases, storage, operating systems, etc.
- ii. Describe how the Vendor will advise the state relative to hardware, software, storage, and resource requirements to meet potential future needs.
- iii. Describe Vendor's experience with capacity planning for data storage, network bandwidth, and server processing capacity. Where data is available, discuss reason(s) for any significant variances

- between planned capacity and actual requirements. If data is not available, include statement to that effect in the proposal.
- iv. Provide documentation of stress testing results that demonstrate the failure point of concurrent users for a specific configuration and activities of the users.

### 3) Vendor Managed Services

#### Agency Technical Architecture Background

The Agency is a Microsoft centric environment, where its staff rely on an infrastructure dedicated to a Microsoft platform. The Agency relies on a Microsoft Windows Server to host both COTS and custom software within the Agency using both Hyper-V and VMWare. Most of the systems run on Windows Server 2008 R2 Datacenter and Enterprise but some of the newest run on Windows Server 2012 Datacenter and Standard. The Agency relies on Microsoft SharePoint 2010 and Microsoft SQL Server 2008 R2 for storing documents and data within the Agency. The same team has built the Agency's infrastructure on top of a Dell Compellent SAN where over 100TB is currently available for future needs.

The Agency is a Microsoft .Net Development Shop with nearly 60 personnel on staff supporting both COTS and custom developed code. These individuals maintain the Microsoft Windows Server and Desktop environment, the Microsoft Products such as Office, and many other products on the desktop, they manage security through Active Directory and Policy, they patch servers on a routine, manage SQL Server Databases and the server environment as well.

The Agency uses the BI Stack from Microsoft to provide a complete data analytical solution for Business Intelligence including SQL Server databases, SSRS for Reports, SSIS for ETL, and SSAS for building Cubes. They also use Microsoft Excel with many of the native plugins to allow end users to do Self-serve BI against the Microsoft Databases and Cubes.

The Agency uses SSL and Encryption to keep sensitive data secure, both at rest and in transit. HIPAA and HITech rules and guidelines are adhered to within the Agency.

The Agency uses Microsoft Windows Server's IIS to host web applications written in ASP.NET (2.0 – 4.5) that collect data, and display data from the SQL Server back-end.

The Vendor must:

- a. The Vendor shall describe any additional services, if available, that could be used by the Agency during the awarded time of the Contract which could enhance the Vendor Managed Services solution for the Agency.

b. The Vendor must provide a Benefits Analysis detailing the advantages and disadvantages to the Agency for the proposed Vendor Managed Services solution.

c. Security

The Vendor must provide a detailed description of the following:

- i. Describe the approach for leading the Agency through the process of identifying roles that are applicable for both security and workflow of the proposed Vendor Managed Services solution.
- ii. Methods to protect HIPAA and HITECH data from exposure either intentional or unintentional while the data is at rest, in motion or in use.
- iii. Describe how ensuring application security is integrated into the Vendor's development process for the proposed Vendor Managed Services solution.
- iv. Describe the process used when a security vulnerability has been made public or reported to Vendor's internal security team is mitigated.
- v. Describe the proposed Vendor Managed Services solution's user permission capabilities.
- vi. Describe the proposed Vendor Managed Services solution's authentication capabilities.
- vii. Describe how the proposed Vendor Managed Services solution provides end to end encryption of data at rest and in motion.
- viii. Describe your implementation processes and activities required to implement your proposed solution. Such description must include Roles and Responsibilities of implementation staff and typical times to complete.

d. Capacity Planning and Performance Tuning

The Vendor must provide a detailed description of the following:

- i. Describe tools and methodologies used to assess performance tuning and capacity planning of databases, storage, operating systems, etc.
- ii. Describe how the Vendor will determine hardware, software, storage, and resource requirements to meet potential future needs.
- iii. Describe Vendor's experience with capacity planning for data storage, network bandwidth, and server processing capacity. Where data is available, discuss reason(s) for any significant variances between planned capacity and actual requirements. If data is not available, include a statement(s) to that effect in the proposal.

- iv. Provide documentation of stress testing results that demonstrate the failure point of concurrent users for a specific configuration and activities of the users.

e. Disaster Recovery

The Vendor must provide a detailed description of the following:

- i. Describe the proposed Vendor Managed Services solution's backup and recovery requirements and processes.
- ii. Describe the Operational and Disaster Recovery Documentation typically provided.
- iii. Provide a sample set of Operational and Disaster Recovery Documentation from a previous implementation of the proposed Vendor Managed Services solution.
- iv. Describe the Disaster Recovery Plan that will be provided.
- v. Describe the Continuity of Operations Plan that will be provided.
- vi. Provide a sample Disaster Recovery Plan from a previous implementation of the proposed Vendor Managed Services solution.
- vii. Provide a sample Continuity of Operations Plan from a previous implementation of the proposed Vendor Managed Services solution.
- viii. Describe standard service level agreements used for projects similar in size and scope.

f. Performance Standards

The Vendor must provide a detailed description of the following:

- i. The Vendor shall provide to the Agency a performance warranty for a system uptime of 99% or higher measured over the preceding thirty (30) days for the entire Vendor Managed Services solution during the Agency core business hours. The Vendor shall also provide their current performance ratings as they relate to system availability.
- ii. The Vendor shall provide to the Agency a performance warranty for a system uptime of 99% or higher measured over the preceding thirty (30) days for the entire Vendor Managed Services solution during the Agency non-core business hours. The Vendor shall also provide their current performance ratings as they relate to system availability.

## Advanced Fraud Detection and Case Management System Requirements

ID #	Specifications	Met without modifications	Met with modifications	Not Met	Comments
<b>100 Basic Business Rules for Advanced Detection</b>					
101.	Use predictive analytics and advanced detection methods to improve detection capabilities.				
102.	Access data from multiple sources to help target providers exhibiting high fraud indicators and/or inappropriate billing patterns.				
103.	Access data from multiple sources to help target recipients exhibiting high use of controlled and non-controlled substances.				
104.	Train state staff to use advanced detection software.				
105.	Establish plan to either access Medicaid MMIS directly or receive extracts from Medicaid MMIS data for auditing.				
106.	Provide consulting services related to the operation of the advanced detection software following implementation.				
107.	Identify high risk claims/providers and allow for review and adjudication of the suspect claims within the case management software.				
108.	Identify recipients with high probability of abusing controlled substances.				

ID #	Specifications	Met without modifications	Met with modifications	Not Met	Comments
109.	Flag and send to a "pending" status within the case management system for further review by PID staff. Should PID staff determine that an audit is warranted, must have ability to open case from "pending" file. If an audit is not warranted, PID staff should have the ability to flag as a "false positive" in order to improve the accuracy of flagged claims.				
110.	Provide data extracts of the front and back-end.				
111.	Allow users to pull data for performance management.				
<b>200 Basic Business Rules for Case Management</b>					
201.	Provide an activity/event driven tracking system. Events are defined as, but not limited to, business related actions such as opening new cases, assigning cases to investigators, sending letters to providers, status changes (including late payments), and follow-up and/or review.				
202.	Case management solution must be customizable to Medicaid's business processes and names and numbers specific to each unit and/or division within the Agency.				

ID #	Specifications	Met without modifications	Met with modifications	Not Met	Comments
203.	Incorporate tools such as spell-check option for all free-form data entry fields and use drop-down list options for common data elements such as date fields, provider types, etcetera to improve accuracy of data.				
204.	Provide tracking for individual cases, multiple cases (projects), and policy recommendations. Each case type has a unique set of fields and events that reflect the unique characteristics and processes for that case.				
205.	Adapt as the Agency's business processes change and have the ability to modify activities in order to control the progression of cases. This includes the ability to add new activities to match changing business logic and names. The Agency should be able to make changes without the assistance of a Vendor.				
206.	Provide case deconfliction services. (e.g. Notify the user if a review/investigation has recently been opened/completed on a provider or recipient prior to opening a new case.)				

ID #	Specifications	Met without modifications	Met with modifications	Not Met	Comments
207.	Provide a detailed plan for data migration of all existing cases and scanned and uploaded documents from various Agency drives into Vendor's proposed case management system. Old cases must maintain the association with their scanned and uploaded documents.				
208.	Track delivery confirmation of documents/correspondence to provider within a case/file.				
209.	Batch produce letter templates using standardized language and data.				
210.	Support digital signatures to enable letters to be automatically generated and signed once a supervisor gives approval. The intent is for the Vendor to provide the ability to put an electronic picture of a signature on a letter, in lieu of an actual wet signature.				
<b>300 Workflow Management</b>					
301.	Track time (days) spent on a case by user and unit for purpose of measuring employee performance.				
302.	Reassign a specific case or file from one user to another for resource allocation purposes.				
303.	Allow for users to see all assigned case and identify all of their open cases and those which have deadlines that are approaching or have been passed.				

ID #	Specifications	Met without modifications	Met with modifications	Not Met	Comments
304.	Provide Alerts/Notifications to notify when a new complaint is received.				
305.	Update multiple cases in a project by selecting certain cases from case management, selecting a particular activity, and then, in a batch process, update all cases simultaneously.				
306.	Upload Electronic Health Records (EHRs) and associate them with a particular case and the specific claims within the case.				
307.	Provide for on-line review and approval by management of key steps within the audit process.				
<b>400 Compatibility and Integration</b>					
401.	Access information from Medicaid DSS for the purposes of collecting provider/owner demographics for case development.				
402.	Connect to other agency databases for data sharing (internal and external databases).				
403.	Provide centralized case management.				
404.	Record complaints from various sources, including an online complaint form. Complaint will then be triaged by PID staff to determine if audits/investigations case needs to be opened.				

ID #	Specifications	Met without modifications	Met with modifications	Not Met	Comments
405.	Download exclusionary files at the state and federal level and identify any providers that are ineligible to participate in the Medicaid program.				
406.	Be compatible with all Microsoft products.				
<b>500 Document Management</b>					
501.	Upload/Scan documents and assign them to a particular case or project/multiple case or project. Some of the documents include, but are not limited to: emails, MS Office documents, PDF, medical records, legal documents, electronic health records, and electronic files (voicemails, interviews).				
502.	View all historical scanned/uploaded documents currently stored on Agency network drive(s) by relinking them to cases transferred to new tracking system.				
503.	Provide repository for Medicaid policies and procedures storage for case reference.				
<b>600 Reporting</b>					
601.	Have the ability to develop ad hoc reports on all fields stored in case management system.				
602.	Export reports to multiple formats including PowerPoint, PDF, EXCEL, WORD, ACCESS, and HTML.				

ID #	Specifications	Met without modifications	Met with modifications	Not Met	Comments
603.	Create dashboard reports that will provide a quick overview of established Agency performance measures to include, but is not limited to, overpayments recovered, cases closed, referrals made, claims denied due to pre-payment review, and sanctions imposed.				
604.	Measure individual performance of employees, units and divisions by way of detail reports and dashboard-type summary reports.				
605.	Design automatically generated reports which are created on a set schedule.				
606.	Create custom reports that may be reopened and executed by user at later time.				
607.	Create case-specific reports including case summaries and detailed reports that include the following: list of activities, documents, findings, payments, etc.				
<b>700 Security</b>					
701.	Support security administration following established Agency security models for network, database and file systems which will enable multiple different user levels including, but not limited to, administrative, supervisory, and user.				
702.	Supply a copy of Vendor's security policy.				

ID #	Specifications	Met without modifications	Met with modifications	Not Met	Comments
703.	Provide an audit trail by tracking activity history that will include who made a change to a case. Users with ability to modify activities should also be identified in an audit trail.				
704.	Support digital signatures to enable letters to be automatically generated and signed once a supervisor approves.				

## Titles and References for Algorithm Logic

1. Durable Medical Equipment (DME) – Inappropriate billing with diagnosis code V729  
Effective June 1, 2008 DME providers may no longer bill using diagnosis code V729 on hard copy and electronically submitted claims. Providers will now be required to bill with specific diagnosis codes. (Chapter 14, Durable Medical Equipment, of the Alabama Medicaid Provider Manual).
2. Rehabilitative Services - DMH (Department of Mental Health) – Services inappropriately billed with ACT services and/or Home Intervention; Procedures with limitations  
Refer to Alabama Medicaid Provider Manual, chapter 105, **Rehabilitative Services - DHR, DYS, DMH, DCA** which indicates services that cannot be billed with ACT services (H0040), services that cannot be billed with H2022-HA (Home Intervention) and services that can only be billed one event with up to two units per quarter – H0032 (Treatment Plan Review).
3. Pharmacy Services provided after date of recipient death  
Refer to the Alabama Medicaid Provider Manual, Chapter 7, Understanding Your Rights and Responsibilities as a Provider, **Medicare/Medicaid Fraud and Abuse Policy** which states the Program Integrity Division is responsible for planning, developing, and directing Agency efforts to identify, prevent, and prosecute fraud, abuse and/or misuse in the Medicaid Program. This includes verifying that medical services are appropriate and rendered as billed, that services are provided by qualified providers **to eligible recipients**, that payments for those services are correct, and that all funds identified for collection are pursued.
4. Collection of the Laboratory Specimen and inappropriate use of modifier 90  
Refer to Alabama Medicaid Provider Manual, chapter 20, **Procedure Codes and Modifiers** which states to use modifier 90 for the collection of the laboratory specimen: “Providers should use procedure code 36415-90 for routine venipuncture collection, 36416-90 for collection of capillary blood specimen [eg, finger, heel, ear stick] and Q0091-90 for collection of Pap Smear specimen.”) If the provider’s office is running the lab test, they should bill the lab code *without* modifier 90.

**\*\*The Vendor must utilize policy specific to dates of service of the analyzed claims.**

**Algorithm Logic**

**Algorithm Logic**

Algorithm Title:	
Date:	
Author:	

**Description**

(Include intended outcome and policy reference/citation)

**Selection Criteria**

(Include service, selection criteria, date span, algorithm logic if applicable)

**Attachments**

(For Audit Results, attach Results Summary and Claim Level Detail Report)

Line Item Detail Report

Detailed Line Item Report

Billing Provider NPI:

Billing Provider Name:

Recip Full Name	Recip ID	Rec DOB	IC N	From Date of Service	Proc Code	Proc Desc	Prim DX Code	Prim DX Desc	Sec DX Code	Sec DX Desc	Perf Prov M'caid ID	1st Mod Code	Billed Quan	Paid Amount	Billed Amount	Allowed Amount	Perf Prov Name	Performing Provider NPI	POS Code	
													<b>Sum:</b>	\$						
													<b>Sum:</b>	\$						

**Key Position Resume Sheet**

This form must be used to respond to Section P.4.b. Key Positions. For each named individual a separate Key Position Resume Sheet must be submitted.

**Vendor Organization:** \_\_\_\_\_

**Key Position:** \_\_\_\_\_

Candidate:

Full Name: Last Name First Name MI  
 Address Street: City: State: Zip:  
 U.S. Citizen  Non-U.S. Citizen Visa Status:  
 Status:  Employee  Self Employed  Subcontractor ( Name: \_\_\_\_\_ )  
 Other:

Education:

Mark highest level completed.	Some HS <input type="checkbox"/>	HS/GED <input type="checkbox"/>	Associate <input type="checkbox"/>	Bachelor <input type="checkbox"/>	Master <input type="checkbox"/>	Doctoral <input type="checkbox"/>
List most recent first, all secondary and post-secondary education (high school, GED, colleges, and universities) attended. Do <b>not</b> include copies of transcripts unless requested. Add additional rows if necessary						
School Name			Degree/Major	Degree Earned	Year Received	

---

**Work Experience:**

Describe your work experience related specifically to the Request for Proposal to which you are responding. Please list most recent job first. **To add work experience, copy the format below and add additional sheets as needed.**

Work Experience #:			
Job Title:			
From	To	Reason for Leaving:	Hours per week
Describe your duties and responsibilities as they relate to the Request for Proposal:			

---

**References:**

List 3 References below.

Reference 1		
Name	Title	Organization
Address	Phone ( ) -	E-mail Address

Reference 2		
Name	Title	Organization
Address	Phone ( ) -	E-mail Address

Reference 3		
Name	Title	Organization
Address	Phone ( ) -	E-mail Address

---

**Candidate and Vendor Certification**

By submitting this data sheet to the Agency, the Candidate and Vendor certify that, to the best of their knowledge and belief, all of the information on and attached to this data sheet is true, correct, complete, and made in good faith. The candidate further authorizes the release of all relevant prior employment, military service, academic/school, and criminal records. False or fraudulent information on or attached to this data sheet may be grounds for disqualifying a candidate or firing a candidate once work has begun.

By submitting this data sheet to the Agency, the Candidate and Vendor certify that both parties understand the entire scope of requirements for this position as defined in the RFP and the Candidate agrees to be submitted for consideration exclusively by this Agency. Any candidate that is submitted by more than one Vendor for a line item will be considered disqualified.

Candidate Data Sheets must be signed below by the Vendor.

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Date

**Cost Proposal Template I – State Hosted Model**

The Vendor must complete the Pricing Schedule A- Fixed Fee Components and Pricing Schedule B – Contingency Fee Services if a State Hosted Model is proposed.

Pricing Schedule A- Fixed Fee Components

<b>Vendor:</b>			
<b>Authorized Signature:</b>			<b>Date:</b>
	<b>Year 1 Cost</b>	<b>Year 2 Cost</b>	<b>Year 3 Cost</b>
Project Management			
Solution Implementation			
Testing			
Maintenance and Support			
Software Assurance			
<i>(others, please specify)</i>			
<b>Annual TOTAL Cost*</b>			
<b>TOTAL 3 Year Life-Cycle Cost*</b>			

*\*Costs must be shown in U.S. dollars*

Pricing Schedule B – Contingency Fee Services

1. Vendor:	
2. Authorized Signature:	3. Date:
4. Bid Component	5. Price as a percent of recovered Monies
6. Advanced Fraud Detection Analytics – Staff Support, and Updates to be paid by this percentage of recovered monies identified through the analytics tool. This percentage is capped at 9.5%	7. \$1,000,000** x _____ % = \$ _____

8. \*\*For evaluation purposes only.

**Cost Proposal Template I – Vendor Managed Services Model**

The Vendor must complete the Pricing Schedule A- Fixed Fee Components and Pricing Schedule B – Contingency Fee Services if a Vendor Managed Services Model is proposed.

Pricing Schedule A- Fixed Fee Components

<b>Vendor:</b>			
<b>Authorized Signature:</b>			<b>Date:</b>
	<b>Year 1 Cost</b>	<b>Year 2 Cost</b>	<b>Year 3 Cost</b>
Project Management			
Solution Implementation			
Testing			
Maintenance and Support			
Software Assurance			
<i>(others, please specify)</i>			
<b>Annual TOTAL Cost*</b>			
<b>TOTAL 3 Year Life-Cycle Cost*</b>			

*\*Costs must be shown in U.S. dollars*

Pricing Schedule B – Contingency Fee Services

9. Vendor:	
10. Authorized Signature:	11. Date:
12. Bid Component	13. Price as a percent of recovered Monies
14. Advanced Fraud Detection Analytics – Staff Support, and Updates to be paid by this percentage of recovered monies identified through the analytics tool. This percentage is capped at 9.5%	15. \$1,000,000** x _____ % = \$ _____

16. \*\*For evaluation purposes only.

**Cost Proposal Template I – Vendor Hosted Model (SaaS)**

The Vendor must complete the Pricing Schedule A- Fixed Fee Components and Pricing Schedule B – Contingency Fee Services if a Vendor Hosted Model is proposed.

Pricing Schedule A- Fixed Fee Components

<b>Vendor:</b>			
<b>Authorized Signature:</b>			<b>Date:</b>
	<b>Year 1 Cost</b>	<b>Year 2 Cost</b>	<b>Year 3 Cost</b>
Implementation Costs			
<i>(others, please specify)</i>			
<b>Annual TOTAL Cost*</b>			
<b>TOTAL 3 Year Life-Cycle Cost*</b>			

*\*Costs must be shown in U.S. dollars*

Pricing Schedule B – Contingency Fee Services

<b>Vendor:</b>	
<b>Authorized Signature:</b>	<b>Date:</b>
<b>Bid Component</b>	<b>Price as a percent of recovered Monies</b>
Advanced Fraud Detection Analytics – Staff Support, and Updates to be paid by this percentage of recovered monies identified through the analytics tool. This percentage is capped at 9.5%	\$1,000,000** x _____ % = \$ _____

\*\*For evaluation purposes only.

17. Cost Proposal Template II

During the course of the Contract, the Agency may identify additional work that was not included in the original scope of work but of importance to the progression of the project. The Vendor must provide hourly rates for various roles to be used through the end of the project. These rates must be classified by position; i.e. Dentist. The Vendor must provide the hourly rates, inclusive of travel and living expenses and include a brief description of the position. The proposed hourly rates must be effective through the end of the original Contract term. The Vendor may add additional positions, but must respond at a minimum to the positions listed below.

<b>Vendor:</b>		
<b>Authorized Signature:</b>		<b>Date:</b>
<b><u>Staff Title</u></b>	<b><u>Description</u></b>	<b><u>Hourly Rate</u></b>
Nurses of RN or higher level		
Health analytics support specialist		
Field investigators		
Pharmacist		
Pharmacy technician		
Dentist		
Dental Hygienist		
<i>(others, please specify)</i>		

I hereby acknowledge the receipt of Addendum 7 to RFP 2013-CMFD-01

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Authorized Vendor Signature

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Date

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Vendor Organization