ALABAMA MEDICAID AGENCY

Request for Proposal

for the

Medicaid Eligibility Determination System

Deliverable
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Version 1.2

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PREFACE – PROCUREMENT TIMETABLE

The following Table 1 Procurement Timetable represents the State's best estimate of the schedule that shall be followed. Except for the deadlines associated with the Vendor question and answer periods, the proposal due date and the proposal opening date, the other dates provided in the schedule are estimates and will be impacted by the number of proposals received. Note that if addendums or oral presentations are determined to be required, the dates in the following table may need to be updated. The State reserves the right, at its sole discretion, to adjust this schedule as it deems necessary. Notification of any adjustment to the Table 1 Procurement Timetable shall be posted on the Procurement web site at www.medicaid.alabama.gov.

Table 1: Procurement Timetable

Activity	Date	Central Time
Request for Proposal is Issued	November 18, 2011	By 5:00 PM CST
Deadline for Submitting Questions to be Answered at the Pre-Proposal Conference	December 7, 2011	By 5:00 PM CST
Deadline for Submitting Intent to Attend Pre-Proposal Conference Notification	December 7, 2011	By 5:00 PM CST
Mandatory Pre-Proposal Conference	December 13, 2011	10:00 AM CST
Deadline for Submitting Questions after Pre-Proposal Conference	December 22, 2011	By 5:00 PM CST
Answers to Questions to be posted on web site	January 6, 2012	By 5:00 PM CST
Proposal Submission Date	January 19, 2012	By 5:00 PM CST
Opening of Proposal Responses	January 20, 2012	9:00 AM CST
Selection of Apparent Winning Vendor (Estimated)	February 20, 2012	5:00 PM CST
Centers for Medicare & Medicaid Services (CMS) Approval of Contract (Estimated)	March 21, 2012	5:00 PM CST
**Legislative Oversight Committee Review and Governor's Approval of Contract (Estimated)	April 5, 2012	5:00 PM CST
Contractor Begins Work (Estimated)	April 9, 2012	8:00 AM CST

* *By State law, this contract must be reviewed by the Legislative Contract Review Oversight Committee. This committee meets monthly and can, at its discretion, hold a contract for up to 45 days. The "Contractor Begins Work" date, as shown in the table above, may be impacted by the timing of the contract submission to the committee for review and/or by action of the committee itself.

FORWARD – RFP ORGANIZATION

This Request for Proposal (RFP) is organized in the following manner:

Section 1: Purpose and Background: Contains an explanation of the RFP purpose, the project background, information concerning existing Alabama Medicaid Agency programs and systems, and other items of interest to the Vendor.

Section 2: Project Scope and Approach: Contains information about the project goals, key stakeholders, project organization, and a summary of the scope of work.

Section 3: Project Requirements: Contains information regarding the specific requirements for the system and expectations of the selected Vendor.

Section 4: General Administrative Information: Contains mandatory Vendor qualifications, the Procurement Schedule, and general Vendor instructions. Resources, facilities, and equipment to be provided by the State are also discussed.

Section 5: Proposal Response: Contains proposal submission information, and instructions concerning how Vendors are to structure and format their proposals. Detailed preparation instructions are given for each section of both the Technical Proposal and the Cost Proposal.

Section 6: Contract Terms and Conditions: Contains contract information along with several specific terms and conditions under which the Vendor shall perform the contract.

Section 7: Forms: Contains the various forms that support the procurement process and the submission of a proposal.

Appendices

1 PURPOSE AND BACKGROUND

1.1 Purpose

The Alabama Medicaid Agency (Agency) is issuing this Request for Proposal (RFP) to obtain competitive responses from qualified organizations to provide and implement the Alabama Medicaid Eligibility Determination System, a state-of-the-art automated medical assistance eligibility system, for the Alabama Medicaid Agency (Agency).. It is the intent of the Agency to provide prospective Vendors with sufficient information to enable them to prepare and submit proposals which demonstrate the Vendor's ability to satisfy the requirements for the design, development, and implementation of a state transfer system from another state government, a Commercial Off-The-Shelf (COTS) system that can be modified or enhanced to support eligibility determination, or a hybrid system combining the "best in breed" of several different solutions.

The goals of this RFP are to:

- Select a qualified Vendor to manage, design, develop, modernize, and implement a new Eligibility Determination System for the Agency
- Ensure that the new Eligibility Determination System conforms to the following:
    - Provide same customer experience whether accessing services through the Exchange or Medicaid portal
    - Seamlessly integrates the new Medicaid eligibility determination system with CHIP via an enterprise service bus or similar functionality and together they will interface with the Health Benefits Exchange (the Exchange)
    - Meet future Exchange requirements on interoperability standards
    - Meets or exceeds Federal certification and performance standards
    - Performs to the requirements of the Patient Protection and Affordable Care Act (ACA)
    - Meets or exceeds all seven conditions and standards as defined in the CMS publication *Enhanced Funding Requirements: Seven Conditions and Standards* of April 2011 including:
        - Uses 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
        - Aligns to and advances increasingly in Medicaid Information Technology Architecture (MITA) maturity for business architecture, data, and the continuing evolution of the MITA initiative to facilitate ease of participation in the exchange and interaction of data.

- Ensures alignment with, and incorporation of, industry standards: the Health Insurance Portability and Accountability Act of 1996 (HIPAA) 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 ACA; and standards and protocols adopted by the Secretary under section 1561 of the ACA
- Promotes sharing, leveraging, and reuse of Medicaid technologies and systems within and among States
- Supports accurate and timely processing of claims of eligibility and effective communications with providers, beneficiaries, and the public
- Produces transaction data, reports, and performance information that would contribute to program evaluation, continuous improvement in business operations, and transparency and accountability
- Ensures seamless coordination and integration with the Health Benefits Exchange (HBE) (whether run by the State, Federal government or other entity), and allows interoperability with health information exchanges, public health agencies (including the Children's Health Insurance Program (CHIP)), human services programs, and community organizations providing outreach and enrollment assistance services

- Built within the framework of a Service Oriented Architecture (SOA)
- Features built in interfacing capability with the ability to interact with an Enterprise Service Bus (ESB) or similar functionality
- Provides web-based application accessible to potential enrollees and to community-based access points where enrollment may be facilitated
- Utilizes multi-tier (N-Tier) architecture
- Capitalizes on cloud computing capabilities
- Built upon a relational database structure
- Includes multiple security levels utilizing user and role based security and application access capabilities
- Preferably server based
- Uses electronic data and automated processes whenever possible
- Creates an electronic case record for every member
- Includes on-site scanning of enrollment material and an interface to a document management system which provides electronic record retrieval
- Provides both a member self-service web portal and a worker web portal

- Provides a comprehensive automated workflow that navigates users from one area to another based on information entered or Agency business processes
- Provides tracking and quality assurance mechanism to ensure that information entered at any entry point is as clean as possible and is processed as efficiently as possible
- Passes information through a configurable rules engine and validation mechanism to ensure the most accurate data are represented, allowing for quick and accurate processing of applications, changes to information, and renewals
- Easily manageable sets of rules within the rules engine by non-technical staff and not require a level of expertise that would hinder the ability to implement, alter, and maintain current and new programs
- Obtains verification information from the federal data services hub
- Allows future changes in Alabama Medicaid programs to be implemented accurately, efficiently, and timely in an easily configurable manner
- Offers a business intelligence capability including a comprehensive suite of built-in-reports.
- Includes a user-friendly ad hoc reporting system.
- Improves interfaces, inputs/outputs, and system maintenance
- Maximizes the use of the Internet/Intranet as an operational tool to perform functions such as Beneficiary Services and other related support functions and use the Internet to enhance receipt and distribution of information to Agency staff, other State Agencies, Federal agencies, private entities, and the recipient community
- Scalable to allow medical assistance programs to grow
- Is rigorously tested and properly installed prior to the start of operations or production implementation
- Meets federally required timeframes as defined in ACA
- Meets timeframes required by the State in order to meet their business needs which is accepting applications by **July 1, 2013**

In order to meet the very aggressive timeline of being ready for pre-enrollment activities with the Exchange by July 2013; the Agency realizes that the integration and implementation of the Eligibility Determination System will need to be a Phased approach. All functionality necessary to meet this pre-enrollment objective will need to be designed, integrated and implemented by June 2013.

It is expected that the selected Vendor will utilize automated design, development, and testing tools to the maximum extent possible to achieve theses stated goals and to achieve cost and schedule efficiencies.

The selected Vendor shall be responsible for perfor*mance of all duties specified w*ithin this RFP for the amount of compensation quoted in its response to this RFP.

Because of the diverse requirements and specifications of this RFP, the Agency encourages prospective Vendors to subcontract or partner with other professional entities to acquire additional expertise and resources necessary to successfully address all requirements, specifications, and deliverables of this RFP. The Agency seeks to receive as many proposals as possible while ensuring open competition among Vendors.

In the event of a proposal submitted jointly by more than one organization, one organization must be designated as the prime Vendor and must have responsibility for project management and not less than 60 percent of the work to be performed (as measured by price). All other participants shall be designated as subcontractors. The Agency encourages Vendors to consider the use of minority and small business firms as subcontractors.

1.2 Background

In order to solicit informed proposals for this RFP, this section covers the following areas:

- Alabama Medicaid Agency
- Agency Organization
- AMMIS
- Medicaid Management Information System (MMIS)
- AMMIS Recipient Subsystem (RS) and its Interfaces
- My Alabama (formerly Alabama Camellia II) Project
- MITA Assessment & Business Process Reengineering (BPR) – Medicaid Invitation To Bid (ITB)#: 09-X-2205831
- MITA 2.01 State Self-Assessment (SS-A)
- Business Process Reengineering (BPR) Efforts
- Development of Baseline Requirements
- State Technical Architecture

1.2.1 Alabama Medicaid Agency

Congress created Medicaid in 1965, under the provisions of Title XIX of the 1965 amendments to the Social Security Act. Medicaid started in Alabama in 1970 as a State Department of Public Health (DPH) program. In 1977, the Alabama Medical Services Administration was made an independent State Agency. In 1981 it was renamed the Alabama Medicaid Agency. The Agency is responsible for assuring that Medicaid eligible Alabamians have the opportunity to request and receive Medicaid services by qualifying through an eligibility process. Providers of direct services are reimbursed for medical services received by Medicaid beneficiaries. The Agency makes reimbursement for different services and functions using Federal and State matching funds. The Federal Financial Participation's (FFP) Federal Medical Assistance Percentage

match (FMAP) for specific Medicaid costs can be up to 75 percent or higher with most other administrative costs receiving 50 percent Federal funding. The remaining funding percentage is made up of State or other funding sources. Enhanced Federal match of 90 percent is also available for information systems projects, such as the modernization of the RS, for meeting requirements set out in State Medicaid Manual (SMM), 11210 and 42 CFR-433.15 and complying with the seven standards and conditions as defined in the CMS publication *Enhanced Funding Requirements: Seven Conditions and Standards* of April 2011.

During Fiscal Year (FY) 2010, there were 1,026,429 persons eligible for Medicaid in at least one month of the year. The average number of persons eligible for Medicaid per month was 851,199. The monthly average is the more useful measure of Medicaid coverage because it takes into account the length of eligibility. Of the 1,026,429 persons eligible for Medicaid in FY 2010, about 85 percent actually received care for which the Agency paid. These 872,465 persons are referred to as beneficiaries. The remaining persons incurred no medical expenses paid for by the Agency. Many of the individuals who had no medical expenses paid for by the Agency were partially eligible such as Qualified Medicare Beneficiaries (QMBs) only or Specified Low-income Medicare Beneficiaries (SLMBs).

Alabama's population grew from 4,720,976 in 2007 to 4,799,189 in 2009. The segment of the population eligible for Medicaid services has risen from 10.4 percent in FY 1990 to 20.1 percent in FY 2009. However, the segment of the population eligible for Medicaid services did drop in recent years from 21.1 percent in 2006 to 20.1 percent in 2009.

The Patient Protection and Affordable Care Act (ACA), signed into law March 23, 2010, will result in significant changes in Medicaid eligibility and enrollment rules. Under the new law, most Americans whose income is up to 133 percent of the federal poverty level (FPL) will be eligible for Medicaid in 2014, and existing gaps in eligibility for very low income adults will be eliminated. Currently of those individuals receiving Medicaid, 30.7 percent are children. Just as significant, the rules for determining eligibility and the process for enrolling people will be vastly simplified. Dramatic system transformations are needed to accommodate the new and expanded availability of healthcare to thousands of currently uninsured Alabamians. The State of Alabama is anticipating adding 400,000 to 500,000 Medicaid recipients to their membership rolls as a result of this new law.

The Agency's overall vision is to streamline the eligibility and enrollment process, improve user experiences thereby becoming a national model for enterprise level transformation, modernization and interoperability for Eligibility and Enrollment, Medicaid Managed Information Systems (MMIS), Health and Human Services (HHS) Systems and Health Information Systems (HIS) based on the current MITA Framework.

The Alabama Medicaid Mission Statement, Vision, and Values are listed in Table 2.

Table 2: Alabama Medicaid Agency Guiding Principles and Objectives

Alabama Medicaid Guiding Principles	
Alabama Medicaid Mission Statement	To serve eligible, low-income Alabamians by efficiently

Alabama Medicaid Guiding Principles	
	and effectively financing medical services in order to ensure patient-centered, quality focused healthcare.
Alabama Medicaid Vision	To be a leader through innovation and creativity, focusing on quality and transforming Alabama's healthcare system.
Alabama's Values	"Respect • We are a caring organization that treats each individual with dignity, empathy, and honesty Integrity • Our stakeholders can depend on the quality, trustworthiness, and reliability of the Agency's employees and representatives Excellence • We are committed to maximizing resources to ensure the residents of Alabama have access to quality healthcare Teamwork • Our success depends upon establishing and maintaining effective collaborative partnerships Innovation • We willingly embrace new ideas and new ways of doing things to effectively meet a changing healthcare environment"

Medicaid in Alabama covers the following groups:

- Infants born to Medicaid-eligible pregnant women
- Children under age 6 and pregnant women whose family income is at or below 133 percent of the Federal poverty level (FPL)
- Children ages 6-18 whose family income is up to 100 percent of the Federal poverty level
- Recipients of adoption assistance
- Children in foster care through the Department of Human Resources (DHR)
- Children in the care of the Department of Youth Services (DYS)
- Low income families with at least one child under 19 living in the home who meet the eligibility requirements in the State's Aid to Families with Dependent Children (AFDC) plan in effect on July 16, 1996
- Supplemental Security Income (SSI) recipients determined eligible by the Social Security Administration (SSA)
- Certain Medicare beneficiaries whose income is below a certain limit

- Special protected groups, including those who lose eligibility for cash assistance or supplemental security income (SSI) due to an increase in earnings from work, Social Security benefits, or child/spousal support
- Institutionalized individuals with income and resources below specified limits
- Certain aliens may receive emergency services if they meet all other program requirements except for citizenship/alien status
- Females under age 65 in need of treatment for breast or cervical cancer who have been referred through the National Breast and Cervical Cancer Early Detection Program
- Individuals who qualify for optional waiver programs, such as Plan First (family planning), State of Alabama Independent Living (SAIL), Elderly and Disabled, Intellectually Disabled, Technology Assisted, and Human Immunodeficiency Virus (HIV)/Acquired Immune Deficiency Syndrome (AIDS)

Additional information on the above covered groups is provided at:
http://216.226.177.83/documents/3.0_Apply/3.1_General_Info/3.1_Eligibility_Group_Chart_2-2009.pdf

Recent statistics on applications, awards, denials, and terminations are provided at:
http://medicaid.alabama.gov/CONTENT/2.0_newsroom/2.6_Statistics.aspx

1.2.2 Agency Organization

The Agency is organized into the following primary areas:

- Beneficiary Services
- Communications
- Health Information Technology
- Health Systems
- Human Resources
- Information Technology
- Portfolio Management
- Financial Administration
- Office of the General Counsel

The areas of the Agency that will be impacted the most by the new Eligibility Determination System are Beneficiary Services and Information Technology.

1.2.2.1 Beneficiary Services

Beneficiary Services provides Medicaid eligibility determination and enrollment functions for recipients and potential recipients. Each of the divisions within Beneficiary Services is separate but interdependent with respect to budget, staffing, and processes.

While the Family Certification Support Division and the Elderly and Disabled Certification Division primarily handle most of the intake, enrollment, and case maintenance functions, the Certification Support Division provides support through policy, training and technical support functions. Certification support workers assist the Family Certification Division with intake and eligibility determinations for the Sixth Omnibus Budget Reconciliation Act (SOBRA) and other program applications. Certification Support also assists the E&D Certification Division by processing Medicare Savings Program (MSP) applications that are sent in from District Offices throughout the State.

Beneficiary Services includes the following key areas:

- **Elderly and Disabled Certification**

  The E&D Division has eligibility and enrollment responsibility for the following programs:

  - **SSI-Related:** The categories of covered groups are:
    - **Continuous Medicaid (Pickle Program):** Enacted as a separate category of medical eligibility (42 U.S.C. § 1396a) and requires that an individual be deemed an SSI recipient if the individual is simultaneously entitled to receive both social security (Old-Age, Survivors, and Disability Insurance [OASDI]) and SSI in some month after April 1977; currently eligible for and receiving OASDI and ineligible for SSI; and in receipt of income that would qualify the individual for SSI after deducting all OASDI cost-of-living adjustments received since the last month in which the individual was eligible for both OASDI and SSI.
    - **Disabled Adult Child (DAC) Program:** An individual whose Supplemental Security Income (SSI)stopped, after he or she attained the age of 18, because he or she began receiving benefits as a Disabled Adult Child, or if SSI stopped as a result of an increase in Social Security benefits as a Disabled Adult Child .
    - **Early Widow/Widower and Deemed Widow/Widower Program:** Serves individuals who are over the age of 50 but not yet 65, not eligible for Medicare, and have lost SSI eligibility because their Social Security benefits increased above the SSI limit when the spouse died
    - **Retroactive SSI:** An individual who has incurred medical expenses during the period prior to the first month of SSI eligibility (3 months for individuals under age 21 or 2 months for individuals over age 21) may be eligible for Medicaid coverage during those months if he or she was disabled according to Social Security standards or are over age 65 and

met the income and resource limits for each month. A person has six months after being awarded SSI to apply for Retroactive SSI Medicaid.

- **Institutional:** This includes the following coverage categories for individuals who have been in a medical institution for at least 30 days:
  - **Hospital Medicaid:** Available individuals who have an extended hospital stay due to awaiting a hospital placement if their annual income falls under 300 percent of the SSI income level
  - **Medicaid in an ICF-MR Facility:** Available to individuals who have a developmental disability if their annual income falls under 300 percent of the SSI income level and has resources within the SSI resource limit
  - **Nursing Home Medicaid:** Available to individuals who are in a nursing home and have an annual income that is less than 300 percent of the SSI income level and have resources within the SSI resource limit.
  - **Post Extended Hospital Care (PEC):** Covers hospital services rendered to a patient for a minimum of three consecutive days of acute care services in the hospital requesting PEC reimbursement. In order to continue PEC eligibility, recertification must be made every 30 days
  - **Psychiatric/Geriatric Medicaid: Psychiatric Medicaid:** Covers children under the age of 21 in a freestanding psychiatric facility, and Geriatric Medicaid covers individuals who are age 65 and older residing in a geriatric psychiatric facility
  - **Grandfathered Nursing Home:** Covers individuals who were patients in a nursing home on December 31, 1973 and were grandfathered with coverage transferred to the AL Medicaid Agency
- **Medicare Savings Program (MSP):** This includes the following coverage categories:
  - **Qualified Disabled Working Individuals (QDWI):** Allows disabled persons who have lost entitlement to Medicare benefits because they returned to work to have Medicaid pay their monthly Medicare Part A premium. In order to qualify, the individual must have income below 200 percent of the FPL and not otherwise be eligible for Medicaid benefits.
  - **Qualified Medicare Beneficiaries (QMB)**: Covers the monthly Medicare Part A and Part B premiums, deductibles and co-insurance of individuals with incomes at or below 100 percent of the annual FPL.
  - **Qualifying Individuals (QI)**: Provides help with monthly Medicare Part B premiums to individuals who are not otherwise eligible for full Medicaid benefits who have income between 121-135% of the FPL. There are limited slots available for this program. **Specified Low-Income Medicare Beneficiaries (SLMB):** Individuals whose income **exceeds the QMB level, but is less than 120 percent** of the FPL, qualify for Medicaid to pay their monthly Medicare Part B premium

- **Home and Community Based Service Waivers:** This includes the following coverage categories:
  - **E&D Waiver**: Provides services enabling elderly and/or disabled individuals who would otherwise require care in a nursing facility to live in the community
  - **Living at Home Waiver:** Provides services to adults and children age three years or older who have developmental disabilities and who would otherwise qualify for care in an ICF/MR
  - **Mentally Retarded/Developmentally Disabled Waiver (MR/DD):** Provides Home and Community Based Services (HCBS) to Medicaid-eligible individuals who would otherwise require the level of care available in an ICF/MR
  - **State of Alabama Independent Living Waiver (SAIL):** Serves adults with disabilities who have specific medical diagnoses and are at risk of being institutionalized in a nursing home
  - **Technology/Assisted Waiver for Adults:** Provides services to adults with complex medical conditions who are ventilator dependent or have tracheotomies who receive skilled nursing services and meet the nursing home level of care

- **Family Certification**

  The Family Certification Division has responsibility for performing eligibility determination and enrollment for three major programs. This includes the following coverage categories:

  - **SOBRA:** A healthcare coverage program that helps pay medical bills for pregnant women and children under age six with family income at 133% of the Federal Poverty Level (FPL) and children age six to 19 with family income at 100% of the FPL. **MLIF:** A healthcare program for very-low income families with children who are under the age of 19 and living in their home with a parent or close relative who meet the eligibility requirements in the State's Aid to Families with Dependent Children (AFDC) plan in effect on July 16, 1996. Families receiving benefits have annual incomes below 11.5 percent of the FPL.

  - **Plan First:** A Medicaid Research and Demonstration waiver that extends family planning and birth control services only to eligible women ages 19-55 who have an annual income that falls under 133 percent of the FPL and do not otherwise qualify for full Medicaid coverage.

- **Certification Support Division**

  The Central Certification Unit has eligibility determination and enrollment responsibility for smaller specialized eligibility groups, especially those that require close and frequent contact with other state agencies that provide the state share for the population addressed. These groups are listed below. The Central Certification Unit also includes

statewide certification assistance for SOBRA, Plan First, MLIF, and Medicare Savings cases in the Montgomery Resource Center and the Medicaid unit at All Kids.

- **Certification Support Programs:** These include the following coverage categories:
    - **Breast & Cervical Cancer Program**: Serves low-income, uninsured women under age 65 who have been screened and diagnosed through a qualified provider, or through the Centers for Disease Control and Prevention (CDC) National Breast and Cervical Cancer Early Detection Program (NBCCEDP) who are determined to be in need of treatment for breast or cervical cancer
    - **Children in DYS Group Homes and Facilities:** Provides Medicaid coverage to children under DYS supervision in group homes and private facilities who are under age 21 and meet income and resources requirements for children
    - **Adopted Children**: Medicaid is provided to recipients of Federal and State adoption assistance
    - **Refugee Medical**: Medical coverage for these groups is offered after six months of employment under the Refugee Resettlement Program, which reimburses Medicaid
    - **Newborns of Medicaid Mothers:** Medicaid provides deemed newborn coverage to Medicaid eligible mothers for one year. This process is mainly for SSI mothers who are not certified by Medicaid.
    - **Emergency Services Program:** Aliens who do not meet citizenship or SSN requirements but meet all other eligibility requirements for a Medicaid program are eligible for emergency medical services including labor and delivery
- **Policy and Program Implementation Unit**: Responsible for researching, interpreting and writing eligibility policy as well as implementing all eligibility programs to ensure the agency is in compliance with federal and state laws and regulations
- **Training Unit:** Responsible for training and education of staff, application assisters and other state agency personnel regarding Medicaid eligibility guidelines and policies
- **Technical Support Unit**: Responsible for coordination of Medicaid computer systems issues. This unit also provides error reconciliation and customer support for beneficiaries who are certified through SSI and DHR. SSA certifies Medicaid for Alabama SSI recipients through a 1634 agreement. DHR certifies state and federal foster care children in Alabama

- **Administrative Services**

  The Administrative Services Division has responsibility to provide guidance and direction to Agency staff to coordinate activities regarding records management, supply room, motor pool fleet, furniture and equipment set up and distribution, Agency library, warehouse, mailroom, property inventory, mailing service, risk management coordination, and centralized imaging unit functions as noted below:

  - **Records Management**: Responsible for records management system which offers control of and access to recorded information created, used, stored and either preserved permanently or destroyed in the normal conduct of business of the Agency in accordance with the Alabama Department of Archives, Division of Records Management. This unit coordinates printing services, administers a Forms Management Program including form design standardization, procedural analysis, procurement, reproduction, distribution and storage. This unit will also oversee activities related to Quality Assurance to ensure that the indexers of the Centralized Imaging Unit have applied the appropriate metadata as it relates to the Medicaid Electronic Content Management System (MECMS) project.

  - **Management Support:** Responsible for all activities of the supply room which includes ordering, distributing, and maintaining supply inventory, accountability and control of the Agency's motor pool fleet, risk management coordination, mailroom, property inventory control and accountability, and furniture, equipment, fax machines, computers and maintenance functions. This unit also oversees all aspects related to the Agency warehouse as well as furniture set up and equipment distribution. This unit will also oversee activities related to the Centralized Imaging Unit to include prepping, sorting, and scanning documents as well as applying appropriate metadata by the indexing team as it relates to the Medicaid Electronic Content Management System (MECMS) project.

- **Customer Service Center Administration**

  This division is responsible for the implementation of Customer Service Centers throughout the state. The long-term vision of the Agency is to establish a network of an estimated 17 regional customer service centers to provide a central one stop shopping point of intake and eligibility services for the public. The applicant could either submit an application from a remote location using the new web-based application that has been developed, or he or she could go to a customer service center to prepare an online application. To this end, each center will have a place available where the applicant can fill out an application online. There would also be staff available to assist applicants for family programs and elderly/disabled programs as necessary. The applicant will also be able to make copies of his or her key documents that need to be submitted with an application. The Agency has set up customer service centers in Birmingham, Montgomery, and Mobile to test this operating model and vision. There will be a gradual rollout to expand this model on a statewide basis because of resource considerations.

1.2.2.2 Information Technology

The Information Technology department includes:

- Computer Operations Support
- Beneficiary Software Support
- Claims Software/Program Services Support
- Resources/Administration Software Support
- MMIS/Privacy Coordinator
- Network/Systems Support/ IT Security
- Configuration Management
- IS Quality Assurance
- Database Administration

A current organization chart can be found in Appendix B.

1.2.3 Alabama Medicaid Management Information System

1.2.3.1 Medicaid Management Information Systems

The Agency outsources its claims processing and adjudication services to a Fiscal Agent in an MMIS business model approved and certified by the Centers for Medicare & Medicaid Services (CMS). The Agency's current Fiscal Agent is Hewlett Packard Enterprise Services (HP). As the Agency's Fiscal Agent, HP processes and adjudicates approximately 24 million claims on an annual basis with an estimated cost of 3.5 to over 4 billion dollars annually. Figure 1 depicts the AMMIS in Alabama.

ALABAMA MEDICAID AGENCY

Alabama Medicaid Management Information System

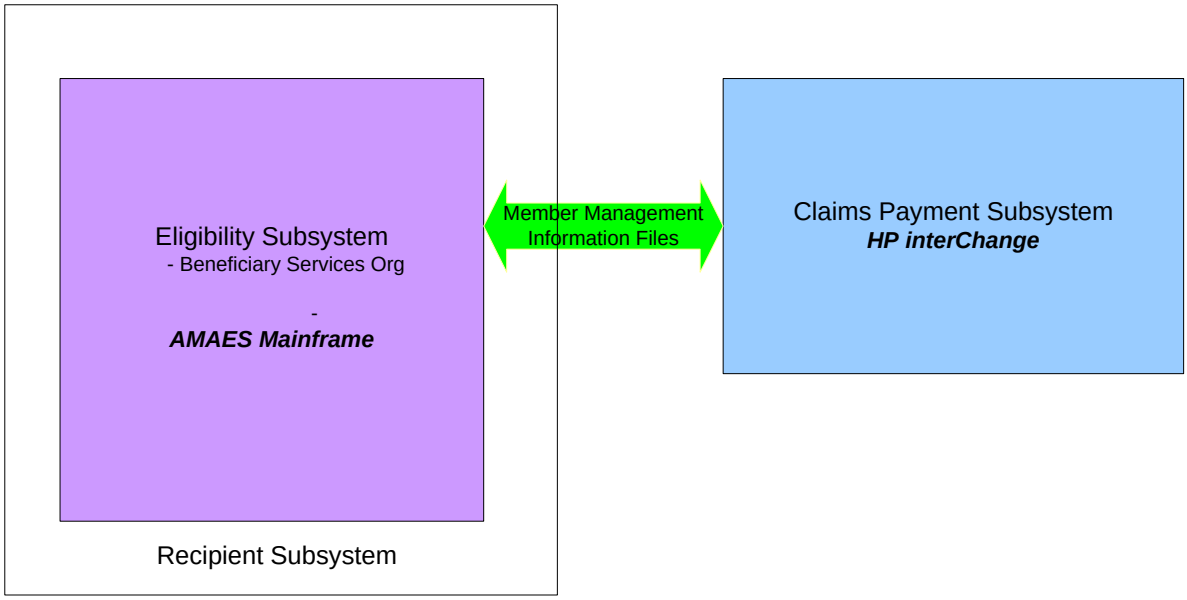


Figure 1: Alabama MMIS

In February of 2008, the Agency upgraded its MMIS through a contract amendment and implemented interChange, HP's latest MMIS application software system. ***It is important to note that Medicaid's RS is a separate State-maintained application system that is not part of the HP interChange system***. The basic interChange architecture was transferred into Alabama from the HP developed MMIS interChange application system, currently running in the State of Oklahoma. Alabama's version of the Oklahoma interChange application system was enhanced to include multi-payer and improved benefit plan processing, as well as a state-of-the-art N-Tier architecture, which consists of a presentation layer/tier, business layer/tier, and a data layer/tier. The CMS-certified base system is a highly developed and feature-rich system centered on a Medicaid relational data model. It divides the application into components so that they process on different networked computers. This design and supporting architecture delivers enhanced flexibility, scalability, and reliability, as recognized by the National Association of State Information Resource Executives (NASIRE) Award for innovative use of technology that the system received after its implementation in Indiana. The interChange system is composed of different software components that are loosely joined and arranged in various software and architectural patterns to enable ease of use, development, and maintainability. The core components include MMIS batch processing developed in C programming language executing in a Unix environment and an N-Tier web-based user

interface written primarily in C# (C Sharp), utilizing Microsoft ASP.NET. The MMIS data layer/tier resides in an Oracle 10 gigabyte database. Critical software components for letter generation, ad-hoc reports, Optical Character Recognition (OCR), electronic document storage and management and Electronic Data Interchange (EDI) are also integrated into the interChange system.

The high-level diagram in Figure 2 depicts the basic business model used to construct the architecture of the Alabama-specific MMIS interChange system.

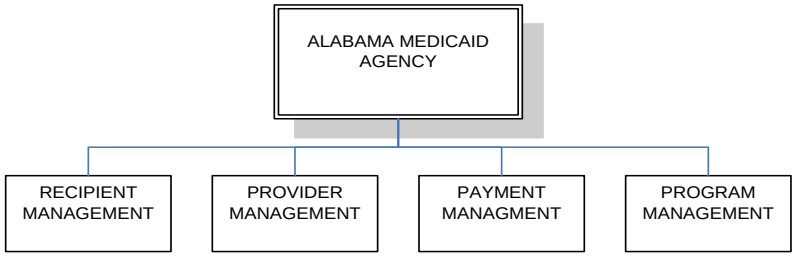


Figure 2: MMIS interChange Architecture

As shown in the above high-level business model, the MMIS is engineered to support the identified key core business functions and management areas consisting of Recipient Management, Provider Management, Payment Management, and Program Management. The Recipient Management components of interChange support the following business function areas: Recipient, Long-Term Care (LTC), Managed Care, Early Periodic Screening, Diagnosis, and Treatment (EPSDT), Comprehensive Recipient Online Collections System (CROCS) and the Eligibility Verification System (EVS). **It is not the same as the RS which is the subject of this RFP.**

Again, it is important to note that the Recipient Management component of the interChange architecture receives recipient data from the separate State-maintained RS which is described in the following section and is the focus for modernization in the RS Modernization Project.

The Provider Management business area components of interChange support Medicaid's key function areas of: Provider Enrollment, Provider Maintenance, and Provider Communications. Payment Management supports the key business component of Claim Encounters, Drug Rebate, Reference, Prior Authorization, Third Party Liability (TPL), Financial, and Drug Utilization Review. Business modules within the Program Management component of interChange supports: General Requirements, the Decision Support System (DSS), Management Administrative Reporting Subsystem (MARS), Surveillance Utilization Review (SUR), and an Integrated Test Facility (ITF). All of the identified business components, functions, and management areas depicted and identified above make up the infrastructure of the MMIS.

1.2.3.2 Recipient Subsystem and its Interfaces

This section of the RFP provides background reference information on the current RS to support this RFP. In parallel with the development of the State's MMIS interChange application system, the Agency has developed a number of manual and automated support systems to facilitate the cross-agency business processes of recipient management. The State and Federal agencies participating in processing or providing information pertaining to client applications, or providing supporting information used in reaching an eligibility determination, are shown in Table 3.

Table 3: Examples of Participating Agencies

Participating Agencies
Department of Human Resources (DHR)
Department of Public Health (DPH)
Department of Rehabilitation (DOR)
Department of Mental Health (DMH)
Department of Senior Services (DSS)
Department of Industrial Relations (DIR)
Social Security Administration (SSA)
Centers for Medicare & Medicaid Services (CMS)
Internal Revenue Service (IRS)

These agencies, their support systems, and the exchange of information between them are referred to as the Alabama Medicaid Management Information System (AMMIS) RS. The current Fiscal Agent's MMIS interChange system is one of the software systems that provide feeds to the RS.

In addition to the MMIS interChange system, the other major information sources that provide feeds to the RS are:

- Income Eligibility Verification System (IEVS)
- Insure Alabama/ADI
- State Data Exchange (SDX)
- State Verified Eligibility System (SVES)
- Beneficiary Earnings Data Exchange (BENDEX)

For the past 32 years, AMAES has been the one consistent factor within the RS. Originally created as a mainframe based Indexed Sequential File (ISAM) in 1978, AMAES was rebuilt as a variable length file that utilized a Virtual Sequential Access Method (VSAM) database management structure in 1983. In 2009, the Agency started an internal project to rebuild AMAES for a third time utilizing UDB DB2 as its relational database management structure.

The State's AMAES system pre-dates the Fiscal Agent's MMIS system. The first CMS-certified MMIS system was constructed on a common infrastructure, architecture, and programming

language with both AMAES and AMMIS sharing a common RS. Functionally, this RS provides three interrelated features: 1) Intake, 2) Eligibility, and 3) Redetermination.

With the separation and subsequent redevelopment of the Fiscal Agent's MMIS system, the State has continued to retain and maintain these recipient features in AMAES, with AMAES providing regular updates to AMMIS.

Overview of the Recipient Subsystem

Alabama does not currently have a single recipient system. Instead, beneficiary services may be applied for at multiple agencies and the processes of applying for beneficiary services and eligibility determination are provided through a combination of internal and external systems supported by State agencies, third party vendors, and their information technology personnel. The collection of systems that provide beneficiary services exchange core beneficiary applicant and service information between each other and between external State, Federal and corporate entities.

The AMAES application is the system of record for making eligibility determinations for Medicaid recipients. In addition to providing the core application and eligibility functions, AMAES also supports a number of batch programs that provide extraction and data exchange capabilities to multiple other systems. Eligible applicants and updates to existing recipient information are in turn provided to the AMMIS application for claims processing provider management and third party recovery.

External applicants can start the application process by completing an online web application using the DPH Insure Alabama application. Application referrals from DPH are exchanged with the AMAES application, which in turn refers ineligible applications to the DPH ALLKids program. The Agency is currently partnering with the DPH in a unified online application and desires a solution that will leverage the use of this application.

AMAES supports multiple management reports to assist in managing case workloads. These are disseminated to workers and their supervisors through the Feith document databases system and supporting web interface as computer-generated reports.

AMAES is a COBOL/CICS/VSAM system consisting of three logical subsystems: Family Services, District Office, and Support Services. The AMAES system is deployed to three Logical Partitions (LPARS) on the State of Alabama IBM z/800 mainframe: development, staging, and production.

1.2.4 My Alabama (formerly Camellia II) Project

The My Alabama Project's focus is to increase health and human service (HHS) outcomes for children and families by building an integrated HHS infrastructure to coordinate technology and business processes of multiple systems that provide services to Alabama clients and families. The Agency has been one of the lead agencies in the pilot with its Medicaid for pregnant women, Plan First family planning, Medicaid for children under 19, and Medicaid for Low Income Families program. Public Health (ALLKids, CHIP) is currently part of the pilot. Other agencies potentially participating in the pilot are the Department of Human Resources (Food

Stamps and Temporary Assistance for Needy Families (TANF)), Mental Health (Mental Retardation Services), and Rehabilitation Services.

My Alabama Project's background is being presented as information to the prospective Vendors as the My Alabama Project is a potential entry point for ACA. It is one of the key interfaces that will need to be addressed.

1.2.5 MITA Assessment & Business Process Reengineering Project

In March 2009, the Agency solicited proposals for Consultant support and technical assistance for the MITA 2.01 Framework, SS-A and BPR Project. The Agency awarded Fox Systems, Inc., (FOX) and its subcontractor, Beacon Analytics, the contract for this Invitation to Bid (ITB). This engagement is Phase I of the RS-R&R Project and the final outcome is the transition to Phase II. The following two subsections provide a current status of these efforts.

Note: The MITA Assessment & BPR Project has been renamed the RS Modernization Project to better communicate the purpose of the Project. While the initial project had the limited scope of Phase I of the Agency's RS Modernization initiative, the project now has the scope of both Phases I and II of the modernization effort.

1.2.5.1 MITA 2.01 State Self-Assessment Efforts

The goal of the SS-A was to produce an assessment based on current and future MITA alignment and interoperability of:

- The AMMIS
- The RS of the AMMIS and the related subsystems
- Statewide Health Information Exchange (HIE) (formerly Medicaid's Together for Quality (TFQ) Transformation Grant Health Information System (HIS) Project)
- My Alabama Project (formerly Camellia II Project) to increase health and human service outcomes for children and families by building an integrated Health and Human Services (HHS) infrastructure to coordinate technology and business processes of multiple systems

The Agency's SS-A included:

- Business Process As Is Assessment and Validation
- Systems and Technology As Is Assessment (Technical Assessment (TA))
- Targeted To Be Business Process Planning

It consists of two components: the business and technical assessments. The business assessment and the technical assessment were conducted in parallel. Based on the information gathered in the Business Process sessions, Maturity levels for each process were assessed for both As Is and To Be (see Appendix C).

For all business processes, Alabama is currently at a MITA Maturity Level 1. The State wants to progress to MITA Maturity Level 3 for most business processes, and has recently undergone a reprocurement takeover with enhancements of its current MMIS.

Currently, many systems within the Agency rely on legacy architecture. However, a few new technology projects, specifically the HIE program, illustrate movement toward greater system flexibility, robustness, and MITA's recommended adoption of SOA. SOA capabilities will be one of the many considerations in the procurement of the new Eligibility Determination System and future MMIS enhancements.

Manual processes and limited definition of an Enterprise Architecture (EA) have kept the Agency in the compliance mode. The Agency has also found it difficult to motivate its providers and its beneficiaries into changes that might benefit the Agency; e.g., using X12 transactions to automatically submit claims. The changing status of the healthcare environment will ultimately press heavily against strictly compliance-oriented business. New transactions, new Federal initiatives, State and Federal cost-saving demands, and other external forces will impact how the Agency does business.

Furthermore, it may be advantageous to view the operations of the Agency from a more strategic vantage point to assure that all technical and policy changes continue to move the enterprise in a forward direction. For example, new systems or system functionality must be designed to work in concert with the existing system, but also with the flexibility to adapt for future needs. Along with these system changes, must come the policy changes and documentation that details how that change will happen and how it will impact the business operations of the Agency. Finally, each change must be fully tested by those who use it and must involve the required amount of training to assure that any innovation supplies a real advantage to the State users, the providers, and the beneficiaries.

At this point, the Alabama MITA SS-A has been focused on determining the current status of Medicaid business processes, future goals for improvements, and identifying the gaps that need to be overcome. The continued prevalence of manual processes, compartmentalized operations, and lack of overall strategy hinder increasing business process automation and has kept Alabama Medicaid in the compliance mode for most business processes.

MITA Assessment Findings Concerning Eligibility Determination

The functioning of the various processes within the Member Management Determine Eligibility Business Area is challenged by a number of factors:

- A legacy system that is not flexible in responding to new business needs
- Continued reliance on manual mechanisms to carry out process steps
- Staffing limitations outside the control of the Agency
- Information fragmented across multiple files (e.g., Beneficiary Earnings Data Exchange (BENDEX), TANF) and systems (e.g., Alabama Medicaid Application and Eligibility System (AMAES), AMMIS, ALLKids, Third-Party Liability (TPL) contractor Healthcare Management Systems (HMS) system)

- A lack of Enterprise standards in regards to forms used, member information, and information availability

The processes within Member Management employ a mix of manual and automated mechanisms to carry out business area activities. Although some business area process steps have been automated (e.g., validation of eligibility data entered into AMAES, enrollment business rules for Patient First), most processes rely heavily on manual processes including receipt of the majority of eligibility applications, eligibility determination, determination of eligibility for waiver programs, disenrollment, and maintenance of member case information.

Central to the effective operation of any business area is the information that supports its processes. One of the largest challenges to the Alabama Medicaid Member Management Business Area is the variation in the storage location, organization, availability, and format of member data across the Enterprise. This lack of consistency impacts or is revealed by:

- Access to and completeness of information (users responding to member eligibility inquiries do not have access to information that equally supports all programs, external stakeholders are not always confident that all request pathways return consistent information)
- Time and effort involved to complete processes
- Communication between systems and units
- Duplication of capabilities in multiple systems (AMAES and AMMIS both receive and respond to X12N 270 request transactions)
- Deficiencies in data necessary to the support of the business area that exist in both AMAES and AMMIS that impact successful completion of processes (e.g., neither AMAES and AMMIS supports the maintenance of the member's address of residence which can prevent completion of the enrollment process)
- Difficulties locating archived records timely for audit purposes

One aspect of the determine eligibility process that is working well is the coordination with the Department of Public Health (DPH). The use of the DPH web site and a shared application for the ALLKids program is one of the few examples of automated receipt of eligibility application information. The Agency's grievance and appeals process for members is also working well. There is a low frequency of appeals and the manual nature of the process is not causing too many difficulties to stakeholders.

Other opportunities for improvement:

- It can currently take a member multiple transfers to get to the appropriate person to obtain the needed information
- Communication requires manual intervention much of the time
- Tracking of communications is minimal (DPH has the ability to log phone calls, this capability may be something which the Medicaid Agency can take advantage)

All of the business processes within this business area were assessed at MITA Maturity Level 1. This is primarily due to the manual nature of Member Management activities within the Agency, the fragmented nature of information and lack of enterprise-wide standards for member data, and duplication of functionality within the Enterprise.

The long-term MITA Maturity Level goal for Member Management is MITA Maturity Level 3. This will involve implementing the process as a service utilizing MITA standards and interfaces within the Agency and for data exchanges with external entities. Enabling automated verification and the immediate availability of updates to data sharing partners and the consolidation or federation of the many systems that currently make up the member information data store will be required.

As previously indicated, the Agency wants to progress to MITA Maturity Level 3 for most business processes. Refer to the MITA Maturity Matrix located in Appendix C for further information. With the development and implementation of the new Eligibility Determination System, the Agency will be well on its way toward a Level 3 maturity for those associated business processes.

1.2.5.2 Business Process Reengineering Efforts

As an output of the ITB for MITA Assessment & BPR project (renamed the RS Modernization Project), and prior to the issuance of this RFP, an assessment, analysis, and design document for BPR was completed. A copy of the BPR document can be found in the Procurement Library. It is imperative that business processes of the Agency's RS be re-engineered and the information technology (IT) components be redesigned and re-engineered around the MITA Framework for a successful and complete modernization of AMAES. Ultimately, the successful modernization of AMAES shall result in a more comprehensive system that shall meet the emergent needs of clients and react expeditiously to the myriad of changes required of the Agency.

The objective of the detailed BPR analysis was to provide recommendations for both near- and longer-term improvements to the Agency's beneficiary-related business functions, laying the foundation for the development of a new Eligibility Determination System. The most overarching recommendations included:

- Implement the Self-Service Web Portal
- Modify and Enhance the New Online Application for Medicaid Coverage
- Central Imaging and Document Management
- Implement an Electronic Case Record
- Implement System-Generated Forms
- Implement a Web-Based Worker Portal
- Additional Data Sharing and Data Matching
- Implement Automated Reports, Alerts, and Controls

As a result of the business process analysis that was completed during Phase I of the RS Modernization Project, flow charts depicting the current business processes (As Is) and the envisioned future business processes (To Be) flow diagrams were created. These flow diagrams are found in Appendix D Current and Future Business Processes.

1.2.6 Development of Baseline System Requirements

As another deliverable of the MITA Assessment & BPR project, baseline system requirements were developed that addressed, at a high level, seven functions to support the future functionality of the Eligibility Determination System. These seven functions include the continuum of processes that are performed across the overall Beneficiary Services function: from initial intake, to initial eligibility determination, to ongoing redetermination.

The baseline requirements served as the basis of the system requirements and are located in Appendix E. Baseline requirements were mapped to the Agency “Beneficiary Services Wish List” which is located in the Procurement Library (Appendix F) to ensure that system functionality desired by the Agency was addressed and if there were gaps, to address them in system requirements. From there, an outline for the system requirements was developed and baseline requirements were associated to the most appropriate section in order to provide structure and organization. The outline was used for scheduling numerous Joint Application Requirement (JAR) sessions with Agency staff. Prior to the JAR session the system requirements were developed from the baseline requirements and the identified gaps from mapping. The system requirements were distributed in advance of the JAR sessions and reviewed individually during the JAR sessions. Changes were made based on Agency feedback. Traceability to original sources of requirements has been identified and future changes to the system requirements located in Appendix E are being maintained with continued traceability.

1.2.7 Healthcare Reform – Patient Protection and Affordable Care Act

On March 23, 2010, the Patient Protection and Affordable Care Act (known as ACA) became law, which brought comprehensive health reform that will have an impact on the service delivery of the Agency. The Vendor should be cognizant of the impact and timing of these reforms and regulations and be able to demonstrate how their proposal complies with them.

It is anticipated that there will be a growth in Medicaid of 207,000 to a maximum of 490,000 for Alabamians between the ages of 19-64. The 207,000 estimate represents the minimum estimate of the number of Alabamians who will be newly eligible for Medicaid coverage as a result of ACA. There are nearly 2.8 million Alabama residents between the ages of 19 and 64. Of these, slightly over 490,000 have household income below 133 percent of the Federal Poverty Level (FPL). Forty two percent of these are currently estimated to be without health insurance. The ACA expansion will also potentially expand Medicaid coverage by approximately 44,000 children ages 6 through 18. This is the sum of those who would be switched from ALLKids, plus those who are reported to be uninsured. One of the major impacts of the law is the establishment of a State-based system of Health Benefit Exchanges (HBE) through which individuals can purchase coverage, with financial support for those between 133-400 percent of the FPL, and expanding Medicaid eligibility as noted above. ACA requires states to coordinate

and ensure the optimal execution of investments associated with the ACA and establish collaboration cross-agency and state sharing. ACA will result in the need for enrollment of millions of newly eligible individuals through multiple channels thereby creating an operational need for the Agency to seamlessly integrate with the newly authorized Exchange. The intention is to create an exceptional Medicaid program that functions with a high degree of efficiency and effectiveness to serve the needs of beneficiaries and improve outcomes, health, and reduce per capita costs. This is made possible through the opportunity to collaborate with other State programs (such as the Exchange and CHIP), to build and share reusable components, and to leverage architectural components and services used by these agencies as well as the new federal services (such as the advanced premium tax credit calculator).

Alabama Governor Robert Bentley signed an Executive Order on June 3, 2011 creating the Alabama Health Insurance Exchange Study Commission. The duty of the Commission is to study and make recommendations on the most effective way for the state to move forward with the establishment of the Alabama HBE.

At a minimum, the Commission will address the type of entity that will house the insurance exchange, the make-up of its governing board, an analysis of resources needed for operating and sustaining the Alabama Exchange, the specific functions of the Exchange, and the effects of the interactions between the Alabama Exchange and relevant insurance markets, existing health programs and agencies like Medicaid and Public Health.

The Commission will consist of 14 members including the Chairman of the House and Senate Health Committees, Medicaid Commissioner, Insurance Commissioner, and state Finance Director. Other members of the Commission will include representation from physician providers, for-profit insurance providers, not-for-profit insurance providers, the business community, nursing homes and hospitals, and insurance agents.

Up to this point, the Department of Insurance (DOI) has been leading the Alabama HBE effort. Level one funding has been applied for to contract with a vendor to start the planning process. Key stakeholders including staff from DOI, Medicaid, DMH, DPH, ISD, DHR, and other agencies, have been engaged in discussions about how best to design and implement an Exchange that will complement the State's health insurance market and its existing public health coverage programs. The Agency has been an integral participant in these discussions.

The high-level diagram on the following page in Figure 3 depicts the basic business model to be followed in collaboration with the Exchange, DPH, and the DHR for Express Lane Eligibility.

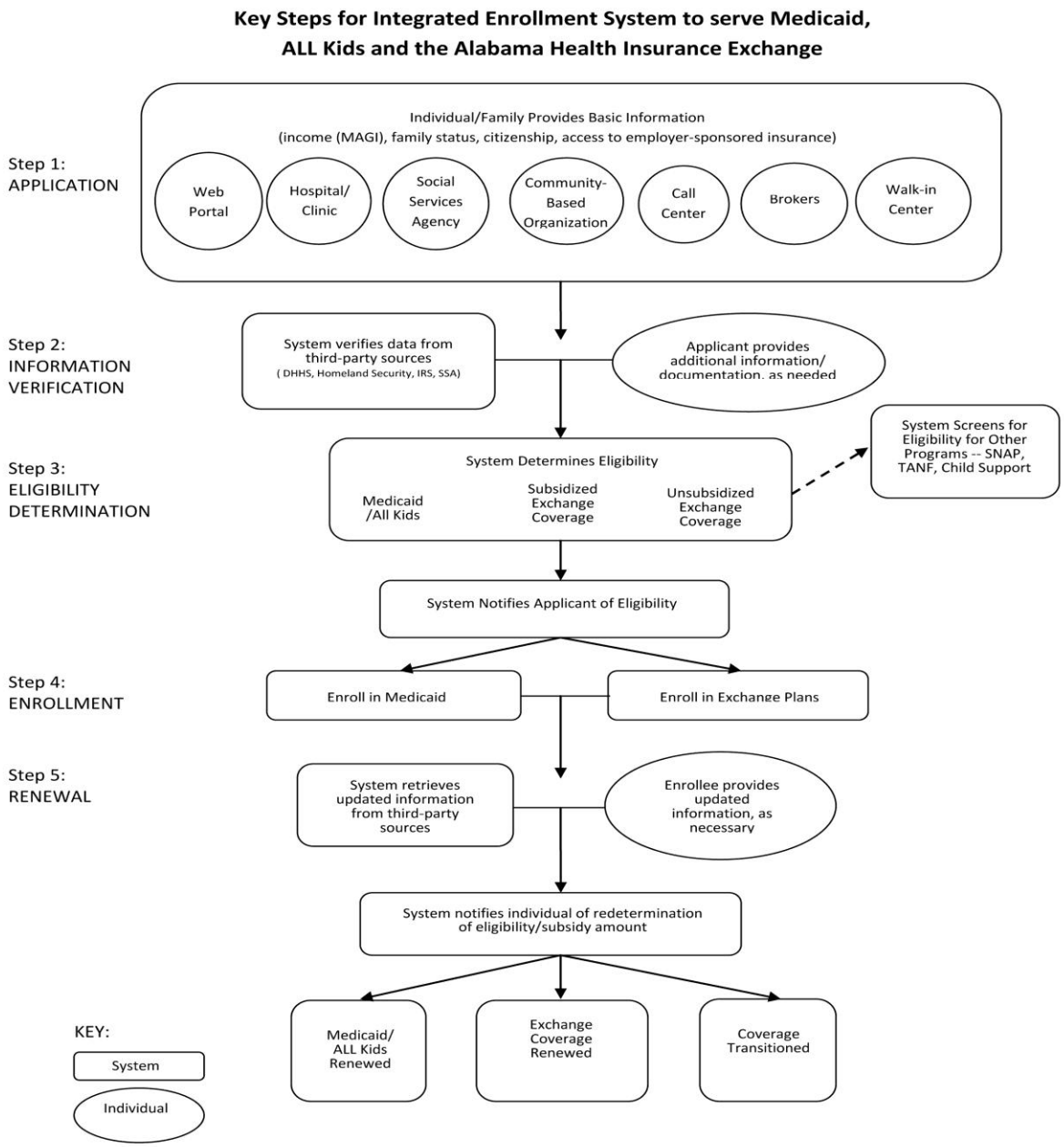


Figure 3: Key Steps of Integrated Enrollment System to serve Medicaid, ALLKids, and the Alabama Health Insurance Exchange

Development of the new eligibility determination system will require close coordination with the Exchange and CHIP to ensure that:

- A consumer-friendly application process is developed for all health subsidy programs
- Seamless transition is coordinated across health subsidy programs
- Application and renewal processes are minimized by accessing data from other sources
- Transfer of consumer eligibility, enrollment, and disenrollment information between Medicaid and other insurance coverage options including CHIP, public/private health plans, and other HHS programs such as Supplemental Nutrition Assistance Program (SNAP) and TANF is facilitated
- The Agency has governance of Medicaid eligibility policies in the HBE

A complicating factor in developing eligibility systems as a result of Healthcare Reform, is that state' s must track who is newly eligible for Medicaid (versus who was previously eligible) since the Federal government will pay the majority of costs for newly eligible individuals. There are a number of unanswered questions about how states will need to continue to track these distinctions and whether or not they will need to maintain dual eligibility systems to do so. CMS has proposed three methods to determining eligibility under the former regulations including: Threshold, Sampling and an Outside Data Source. The maintenance of dual eligibility systems will not be necessary. The Agency will need to determine which of the three alternatives will meet their needs most effectively.

1.2.8 Express Lane Eligibility

The Agency plans to utilize Express Lane Eligibility (ELE) to accomplish much of the pre-enrollment determination leading up to the January 2014 effective date for the Exchange.

Alabama Express Lane Eligibility Process

Under the Children's Health Insurance Program Reauthorization Act (CHIPRA), ELE allows Medicaid and CHIP agencies to determine eligibility using certain eligibility findings from other public need-based programs. Alabama Medicaid accepts income findings from the TANF or SNAP program. Enrollment barriers are reduced and the administrative process is simplified because eligibility workers do not have to re-gather eligibility information the family has already provided to another public program. ELE only applies currently in the processing of children cases and may be used for both initial eligibility determinations and renewals. When information from the other public agency reveals the child is ineligible for its program, Medicaid must apply its own standard eligibility rules and procedures

As part of Alabama Medicaid's on-going effort to maximize enrollment of eligible but uninsured children, Medicaid proposes to implement ELE in five phases.

- **Phase One** – Income findings from TANF and SNAP are used to re-determine Medicaid eligibility at annual renewal. Medicaid eligibility workers manually access TANF and

SNAP inquiry screens to verify income findings. Children who are eligible for TANF or SNAP will be eligible for continued Medicaid coverage. ***CMS approved the State Plan Amendment (SPA) for Phase One with an Oct 1, 2009 effective date.***

- **Phase Two** –Income findings from SNAP and TANF are used to process initial Medicaid applications & renewals. Medicaid eligibility workers manually access TANF and SNAP inquiry screens to verify income findings. ***CMS approved the SPA for Phase Two with an effective date of 4/01/2010.***
- Phase Three - Medicaid will further streamline the review process through the use of an automated data match with DHR. The family will be informed that the agency has verified their data and completed the renewal using information from the SNAP or TANF agency. The family will not be required to complete a renewal form, and will only be required to notify Medicaid if information on the form has changed. Phase four will be implemented once system changes are completed – this is anticipated to be finished this year (2011).
- Phase Four – Medicaid will use findings from SNAP and TANF to automatically enroll new individuals who are applying for TANF or SNAP with informed consent. Phase four will require changes to the SNAP/TANF application, and system changes
- Phase Five -- Other public programs/agencies may be considered for ELE.

1.2.9 Medicaid Technical Architecture

The Agency currently utilizes 2 platforms – an internal Microsoft Windows 2003 Active Directory domain, and ISD State Data Center IBM z/800 Model 2066-003 mainframe computer. The IBM z/800 servers have a five Processor Unit (PU) MultiChip Module. The first PU is, in most cases, designated as a general-purpose engine with Processor Units two through four defined as general purpose, Integrated Facility for Linux, or Coupling Facility engines for use in a Parallel Sysplex® cluster.

The fifth PU is used as a System Assist Processor (SAP) to drive large amounts of data through the I/O subsystem. A spare PU is available as a backup to any processing units that might fail.

Services Summary

A summary of the system services is provided in Table 4.

Table 4: AMAES Services

	Services	Services not Installed
Operating System	z/OS 1.9	
	Communications Server	
	Unix System Services	
	zSeries® File System (zFS)	
	Security Server (RACF®)	
	System logger	
	Workload Manager (Goal Mode)	
Network / Web Services		
	SSL	
		SecureWay® Security Server
		Lightweight Directory Access Protocol (LDAP) Server
	TCP/IP	
	IVORY XML/SOAP	
Transaction Services		
	CICS TS V2.3.	
		CICS Transaction Gateway.
	Novation (GT Software)	
File / Database		
	DB2 Universal Database® (UDB) Server V8	
CA – Schedule & Print	Unicenter CA-7 Job Management	
	Unicenter CA-11 Restart and Tracking	
	Spool	

Security

RACF® policies and procedures have been established and documented by the State RACF Administration; ISD Planning, Standards and Compliance Office.

Refer to Appendix G for details regarding the current technical architecture along with planned upgrades.

2 PROJECT SCOPE AND APPROACH

2.1 Project Scope

The goal of the RS Modernization Project is to modernize the Agency's medical assistance programs eligibility determination practices through business process design supported by an integrated "customer centric" Eligibility Determination System. All medical assistance program eligibility cases will be supported by this integrated, customer centric service model. This Eligibility Determination System will serve as the "medical eligibility system of record" for all users in need of consolidated, current, and historical medical assistance program eligibility information. To achieve this goal, the Agency proposes to acquire a commercially available, service oriented architecture based COTS software package, a state transfer system from another state government, or a hybrid combining the best of breed of several different solutions.

The Agency envisions a client service model that is "customer centric," efficient, effective, and provides a customer friendly experience. Within this vision, clients will be able to file applications for services or benefits through an online application process, as well as report changes and manage their benefit "accounts" online. Most required materials and verification documents will be scanned and stored electronically within the electronic case record. Whenever possible, verification of required information will be captured electronically through a web-based service and updated automatically in the electronic case record. Workers or automated processes will review applications and send additional questions or request additional documentation electronically or through print media to communicate with customers. As a result, workers will be able to spend more time providing accurate verification of eligibility and high-quality service and case management.

The scope of this RFP includes the coordination, design, development, and implementation of the new Eligibility Determination System of the AMMIS. The new eligibility system must seamlessly integrate with CHIP and the Exchange utilizing an enterprise service bus or other interoperable requirements established by the Exchange. The Vendor selected must be capable of providing a system that meets the requirements located in Appendix E, the contents of this RFP, all CMS certification requirements, and be aligned with MITA standards. The selected Vendor shall be responsible for perfor*mance of all duties specified w*ithin this RFP for the amount of compensation quoted in its response to this RFP. The Agency is interested in a solution that offers the best value and functionality for the State. The State believes it is likely that the solution will make use of its current environment and software. However, a vendor who demonstrates superior value and functionality using software that is not part of the current environment will be selected. The Agency's environment is described in the following paragraphs.

- The Agency operates in a Microsoft technology environment and desires solutions to make maximum use of the tools that are available in this environment as it will further the Agency's direction toward leveraging existing frameworks which the Agency can maintain in the future. However, the Agency will consider other alternative solutions. A description of the current Agency environment can be found in Appendix G.
- The Agency is in the process of implementing a document management system using KnowledgeLake and SharePoint and would prefer a system which incorporates the work

and tools already completed in this project; however, it is understood that there are many quality solutions in the marketplace and as long as the current metadata could be used or easily converted other solutions will be considered. A description of the proposed new architecture strategy can be found in Appendix G.

The State discourages any Vendor from proposing a software solution that will create a proprietary dependency unless approved by the State. For purposes of transparency, all Vendors are requested to include in their proposal a complete list of all software including COTS products that are proposed in support of the new Eligibility Determination System. In cases where a software solution could potentially meet the criteria of a proprietary dependency, the Vendor is requested to describe the reason for the need, substitutions that are possible (if any), additional cost if not used and if a substitution is used instead, or if no substitution is available to describe the extent of the dependency.

The Agency has invested in the InRule rules engine software and would prefer to leverage this in the eligibility determination system solution; however will consider other alternatives depending on the applicability of the solution. The Agency wants to leverage the existing application code and business rules as much as possible, in line with the conditions and standards as defined in the CMS publication *Enhanced Funding Requirements: Seven Conditions and Standards* of April 2011 and suggests that the selected Vendor evaluate the functionality of other state systems to determine if parts of their system's rules are suitable to adopt and modify for Alabama's purposes or if it would be easier to incorporate a different rules engine.

The selected Vendor must meet all requirements and specifications to build and deliver a technological state of the art highly efficient N-Tier business process modeled system that drives a business rules based application software system that is scalable, transferable, and fully integrated. The N-Tier design of the system shall require and utilize relational database technology as its foundation and database tier/level. As the middle tier in the N-Tier design, the rules based engine shall work in conjunction with the database engine and the presentation tier/level to deliver a modern, efficient, intelligent information system that meets or exceeds stakeholders' needs. The modernized N-Tier design of the Eligibility Determination System shall be built to align with all aspects of the ACA, the MITA Framework and technology architecture for standards, interoperability, data exchange, and advancement of the MITA 3.0 maturity level of the business and technical areas and processes. Refer to the MITA Maturity Matrix in Appendix C for information regarding the maturity level of each of the business and technical areas. In addition, the Agency is seeking a SOA solution that uses an Enterprise Service Bus (ESB), or equivalent functionality. To the extent feasible, any services developed under this contract will be made available to Medicaid and any other agencies the Agency chooses to share with in an effort to leverage applications.

The Agency is seeking a solution that includes core functionality to allow for expanded use of the system to other eligibility programs and services, including those managed and administered outside of Medicaid. The system shall be flexible enough to support a large number of programs and services, each with unique program-level requirements. The system must allow for some shared functionality, such as a common user-interface and database structure, but also serve the unique needs of individual programs. All services developed

may/will be used by other programs. Other agencies will be able to build on the Eligibility Determination System platform to administer means tested programs. Although the scope of this RFP does not include additional functionality needed to support other programs, the Vendor's solution shall be built with a flexible architecture to support such expansions. Through this RFP, the Agency seeks to buy the best services and products at the most favorable competitive prices, and to give all qualified business entities an opportunity to bid to provide the desired products and services.

The desired system design, development, and subsequent implementation of a new Eligibility Determination System must meet the Agency's goals and produce benefits that significantly improve and simplify business processes or tasks. Vendors need to be aware that the Alabama Agency is already very streamlined and, policy wise, an extremely efficient state. Proposed solutions must not be cumbersome to workers and maximize efficiencies, both business and system, as much as possible. The newly implemented system will:

- Automate certification processes for eligibility workers – It is estimated that there will be a 50 percent increase in enrollment by 2014 and automated certification to accommodate the increased workload is critical.
- Provide electronic case file – With electronic case files record information is available immediately online and directly linked to the client. The Agency wants to eliminate as much paper as possible and the combination of an electronic case file and a document management system is expected to achieve that goal.
- Provide electronic document management – This will improve availability of information for managing cases, reporting and redetermination efforts. Currently, paper records are maintained in over 4,000 filing cabinets across the State. If information is requested from another department or office somewhere else in the State, the record is mailed, sometimes taking over a week to reach its destination. With electronic case files record information is available immediately online.
- Increase speed of service – Currently, applications can take up to 90 days for final determination. With the new system and real-time interfaces, some determinations may be made in a matter of minutes given all required information is available.
- Deliver administrative cost savings – As indicated above the new system will improve productivity efficiencies and will provide significant savings to the Agency long-term
- Reduce errors in processing applications – It is anticipated that through an automated certification process, policy will be applied consistently
- Provide ease in system software maintenance – The current system has numerous workarounds hard coded over the years. When the system is modified there is a significantly high risk that the change may cause issues somewhere else. The new system will facilitate modifications to be completed with a high degree of efficiency and a low degree of risk.
- Make maximum use of human and technology resources

- Employ Federal and State required file transmission processes (Medicare Modernization Act of 2003 (MMA Part D), CMS's Medicare Enrollment Database (EDB), Internal Revenue Service, Social Security Administration and others)
- Implement interfaces and data exchanges with other Alabama State agencies, Federal and private entities, including new data hub services to be developed by CMS and vigorously employ interface file matches in the eligibility determination process
- Ensure end-to-end secure transmission of all data
- Integrate inputs and production of output files and reporting including CMS reporting on beneficiaries
- Facilitate change management processes
- Include tools which support the following:
    - Beneficiary outreach, intake and referral, document and workflow management, beneficiary verification and validation, beneficiary eligibility determination and enrollment, beneficiary case maintenance, and reporting
    - HIPAA standard 270/271 transactions
- Specific needs are addressed in the detailed requirements referenced in Appendix E

2.2 Project Organization

A major factor in the success of the Project is the degree of collaboration between the Design, Development, and Implementation (DDI) Vendor and the Project Management. In recognition of this, the Agency has established a governance system consisting of an Executive Steering Committee, a Project Manager level Change Control Board (CCB) for overall project change control, and a Deputy Project Manager level Change Advisory Board (CAB) to govern the development effort of the DDI Vendor. The Deputy Project Manager CAB will be comprised of the Deputy PM, DDI PM, QA representative and Associate Director Information Services Division. This CAB meets informally on a daily basis to make decisions regarding the DDI project. They will also meet formally on a weekly basis to document change requests, decisions, etc. Information from these weekly meetings will be incorporated into the RS Modernization Project level CCB meetings. Decisions that cannot be made at the DPM CAB level will be escalated to the project manager level board.

Agency staff will participate directly in project management, requirements validation, design, development, testing, implementation, and certification activities of the new system. Additionally, the Agency has established the appropriate levels of management oversight to monitor project progress and assess Vendor performance for each project phase.

The DDI Vendor will support the IV&V vendor in their objective verification and validation activities. The IV&V vendor will have access to all deliverables and visibility into the DDI vendor's processes to produce those deliverables, including on-site visits to DDI Vendor.

The Project Change Control Board is comprised of the four Project Coordinators (Project Coordinator and three co-coordinators, two from Beneficiary Services and the Director of

Portfolio Management) from the Executive Steering Committee along with the RS Project Manager. It is charged with the governance of the project in the following areas:

- Change Management
- Risk Management
- Issue Management
- Action Item Management

Figure 4 illustrates the project organization for the RS Modernization Project.

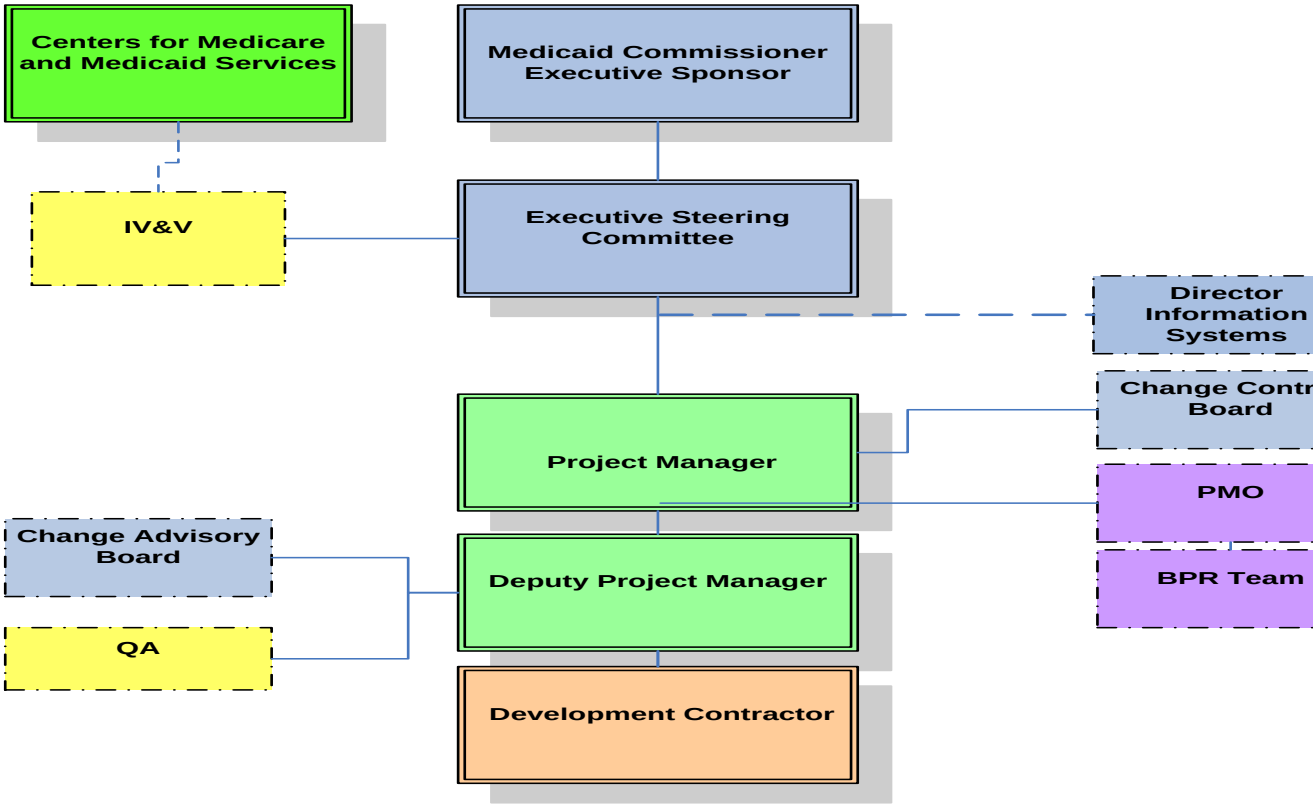


Figure 4: Project Organization

2.2.1 RFP Governance

The Commissioner of the Medicaid Agency, the Executive Steering Committee, and the Project Manager for the RS Modernization Project shall head the governance over this RFP. The Executive Steering Committee shall have approving authority on all Vendor contracted RFP requirements, deliverables, and issues falling under this RFP. The Commissioner shall have final approving authority on RFP requirements, deliverables, and issues that require a decision above that of the Executive Steering Committee. The Agency has designated a Deputy Project Manager for the RS Modernization Project to perform the overall management of the DDI project from the Agency's perspective. The Project Coordinator and Co-Coordinators (see next subsection) shall assist the RS Project Manager and the awarded Vendor with resolving questions or issues involving the Agency staff and stakeholders. The project organization chart in Section 2.2 depicts the governance of this RFP. The bulleted section below shows a listing of the positions of individuals that serve as governance resources.

Executive Steering Committee:

- Deputy Commissioner of Beneficiary Services/Co-Coordinator
- Deputy Commissioner Financial Management
- Deputy Commissioner Program Administration
- Director, Elderly and Disabled Division
- Director, Family Certification Division
- Director, Administrative Services Division
- Director, Finance Division
- Director, Certification Support Division/ Co-Coordinator
- Information Systems Director/Project Coordinator
- Office of the General Counsel (OGC)
- Director, Portfolio Management /Co-Coordinator
- Associate Director Information Services Division
- MMIS Coordinator

The Agency shall provide the resources or access to the resources to support the RS Modernization Project. If a resource is identified as being needed by the Vendor that resource may be scheduled and allocated by the Deputy Project Manager. This will be based on the Vendor's assessment and analysis of needs and/or approved Project Plan. Scheduled meetings and/or interviews with the Agency staff/subject matter experts (SMEs) or stakeholders shall be coordinated with and through the Recipient Subsystem Deputy Project Manager.

2.2.2 Recipient Subsystem Project Manager

The individual designated as the Project Manager for the RS Modernization Project performs the following duties and tasks:

- Overall project management
- Assist in resolving and communicating questions or issues
- Coordinate stakeholder involvement with the Project Coordinator and Co-Coordinators
- Coordinate the review and approval of Vendor deliverables
- Oversight for the RFP for the new Eligibility Determination System
- Coordinate and assist the Project Coordinator with the approval and payment initiations to the awarded Vendor based approved deliverables payments
- Coordinate RFP activities as needed with the Project Coordinator, the Co-Coordinators, and the Executive Steering Committee
- Act as the primary point of contact for the awarded Vendor, Medicaid staff, and stakeholders for activities related to this RFP

The **RS Project Manager** for this project is:

Shannon Crane
Alabama Medicaid Agency
501 Dexter Avenue, Suite 8026C
P. O. Box 5624
Montgomery, Alabama 36103-5624
Email: shannon.crane@medicaid.alabama.gov

2.2.3 Recipient Subsystem Deputy Project Manager

The individual designated as the Deputy Project Manager for the RS Modernization Project performs the following duties and tasks:

- Project management of DDI Vendor
- Act as an intermediary between the Agency and the Vendor to coordinate activities
- Assist in resolving and communicating questions or issues
- Coordinate stakeholder involvement with the Project Coordinator and Co-Coordinators
- Monitor the Vendor's performance to ensuring contractual requirements are met
- Coordinate the review and approval of Vendor deliverables
- Coordinate RFP activities as needed with the Project Coordinator, the Co-Coordinators, and the Executive Steering Committee

- Act as the primary point of contact for the awarded Vendor, Medicaid staff and stakeholders for activities related to this RFP
- Provide oversight to Quality Assurance (QA) services

2.2.4 Project Coordinator and Co-Coordinators

In order to channel communication to the proper individuals, the RS Project Manager will arrange for Vendor access to the project coordinator and co-coordinators. The Agency's Director of Information Systems Division is designated as the Project Coordinator for this RFP. The Project Coordinator shall perform the following RFP-related tasks and duties for all stages of this RFP:

- Assist the designated RS Project Manager with resolving and communicating questions or issues to the awarded Vendor, Agency staff, or other stakeholders
- Assist the designated RS Project Manager with coordinating stakeholder involvement
- Act as an intermediary between RS Project Manager and the awarded Vendor to coordinate IT stakeholder business processes, activities, and legacy system IT functionality
- Assist the designated RS Project Manager with monitoring the awarded Vendor's performance to ensure contractual requirements are met
- Assist the designated RS Project Manager with approving and initiating payment to the awarded Vendor based on approved deliverables payments
- Assist with the coordination of RFP activities as needed with the Co-Coordinators, the Executive Steering Committee, or the Commissioner
- Assist with decisions on RFP terms and conditions or Agency policy as needed
- Act as a primary point of contact for the designated RS Project Manager and the Awarded Vendor

The individuals designated as the Co-Coordinators by this RFP shall perform the following duties and tasks:

- Assist the designated RS Project Manager with resolving and communicating questions or issues related to the Beneficiary Services stakeholder's (staff and client) involvement, business processes, and legacy system functionality
- Assist the designated RS Project Manager with monitoring the awarded Vendor's performance to ensure contractual requirements are met
- Address HIPAA Privacy issues or questions
- Address interChange system issues or questions
- Ensure contractual requirements are met

- Review and approve the awarded Vendor's required deliverables prior to submission to the Executive Steering Committee for final approval

The Project Coordinator and Co-Coordinators designated under this RFP are as follows:

Project Coordinator
Derik DuBard, Director
Information Systems Division
Alabama Medicaid Agency
501 Dexter Avenue, Suite 5018
P. O. Box 5624
Montgomery, Alabama 36103-5624
Email: Derik.DuBard@medicaid.alabama.gov

Co-Coordinators
Lee Rawlinson, Deputy Commissioner
Beneficiary Services
Alabama Medicaid Agency
501 Dexter Avenue, Suite 4030
P. O. Box 5624
Montgomery, Alabama 36103-5624
Email: Lee.Rawlinson@medicaid.alabama.gov

Gretel Felton, Director
Certification Support
Alabama Medicaid Agency
501 Dexter Avenue, Suite 6054
P. O. Box 5624
Montgomery, Alabama 36103-5624
Email: Gretel.Felton@medicaid.alabama.gov

Paul Brannan, Director
Portfolio Management Alabama Medicaid Agency
501 Dexter Avenue, Suite 5020
P. O. Box 5624
Montgomery, Alabama 36103-5624
Email: Paul.Brannan@medicaid.alabama.gov

2.2.5 IV&V and QA

The most significant contribution expected of the IV&V consultant is performing project oversight and acting in the role of a contract monitor to oversee the contractual obligations, performance, and compliance of the Vendor awarded the RFP for the new Eligibility Determination System The Agency views the function of IV&V as literally independent, and not a part of production. IV&V will be able to sample, review, and critique all parts of the Vendor's production activities and the Agency's oversight of those activities.

Alabama has already secured the services of a qualified independent QA/IV&V vendor, SLI, Global, to perform critical monitoring services throughout the course of the project. The Agency and SLI will review all deliverables of the implementation vendor. The deliverables will be defined in the RFP along with a description of the formal process to be used in the submission and review of the deliverables. The implementation Vendor must produce and submit to the Agency deliverables based on the dates that will be agreed upon in the project schedule.

SLI will independently produce status reports on the progress of the project and submit them simultaneously to the ESC and CMS. This action will ensure a check and balance approach to assessment and allow SLI to maintain the independence it needs to do the job for which they were contracted. It will also ensure that CMS is getting necessary information in a timely and unedited manner. The Agency will also initiate a standing monthly status update call with CMS the week following the status report to discuss the findings, recommendations, and corrective action, if required.

The most significant contribution expected of the QA Consultant will be to supplement State personnel during the Phase II development effort for the purpose of validating assumptions, providing implementation guidance, and assisting Medicaid Agency representatives with the testing effort when needed throughout the development lifecycle. The final outcome for QA will be certification of the system by CMS. The Agency views the QA function as potentially part of, or close to production. QA may support testing as a representative of the Agency in the evaluation of Vendor production, or perform functions such as routine reviews of products.

2.3 General Scope of Work

2.3.1 Agency Approach to Development

The Agency is faced with the challenge of modernizing its operations in Beneficiary Services including Elderly & Disabled, Family Certification, and Certification Support. It views this modernization effort holistically, as a system-of-systems involving software, hardware, people and processes oriented on achieving its business needs and the service delivery mission of the Agency. The Agency expects the Vendor to regard this development effort in the same way – as a completely integrated, seamless delivery fully addressing its core needs as expressed in its requirements.

The Agency recognizes the broad and diverse nature of its RS, and the complicating impact that the new technology which is being introduced brings to the development effort. Much of the development will involve low risk workflow and web page development. Some, however, will involve high risk development of critically reliable or structurally significant components. The Agency wishes to benefit from an iterative or agile based development approach focused on the delivery of working components generally, while retaining the ability to address high risk items with a greater level of process discipline when needed. It needs a quality assurance and testing approach that exhibits the same range of rigor in addressing risk. The Agency requires from the developer a system development lifecycle which can accommodate all these needs while balancing agility and traditional process discipline.

Development Lifecycle

The Agency wishes to allow each potential developer to bring to this development effort its industry-best-practice system development methodologies and tailor them to the Agency's needs. To encourage this and to foster the adoption of an integrated development approach, the Agency wishes to rely on an evaluation of proposal methodologies to see how the deliverables and practices of these methodologies meet industry standard system and software engineering principles. The Agency believes industry standard lifecycle principles can be found in any development approach. It hopes that by adopting this approach, it will encourage innovation and agility while preserving its desired development outcomes. Within the lifecycle, the Agency encourages vendors to identify items of risk and introduce them as early as possible. The 'risk forward' approach may involve development or prototyping of high risk items as soon as the project starts.

At a minimum, the Agency is expecting the Vendor's lifecycle development approach to use the CMS Guidance for Exchange and Medicaid Information Technology (IT) Systems v.2.0 and higher as a basic System Development Life Cycle (SDLC) – type model that includes life-cycle phases and transition stage gate reviews for such items as business service descriptions/definitions, requirements specifications, system design specifications, data models, interface control documents, and integration test cases.

Use of Agency Level Control Milestones

To accommodate the flexibility of this approach, the Agency will establish its own set of minimal overall project high-level control milestones. **Within the time periods between these milestones, the Agency will expect the Vendor to define the key deliverables and Agency delivery acceptance points.**

The Agency expects the developer to decompose the Eligibility Determination System into successively subordinate subsystems until features or components are identified. Each component, or group of components, is expected to be developed following a lifecycle which addresses for each feature being developed its requirements validation, design/build, unit and integration testing, quality assurance and Agency acceptance. Typically, these features will be grouped into successive iterations, builds, or releases.

Over time, it is expected that the level of integration testing will increase with iterations, until whole subsystems are tested. System testing will verify that system requirements have been satisfied. User Acceptance Testing of the entire Eligibility Determination System will validate that the expectations of the Agency have been met.

The developer will create a System Implementation Plan deliverable which, when implemented, will deploy the system in an optimal fashion. The system will operate for six months and then be certified by CMS.

2.3.2 Deliverable Review Process

The complete process for the review of all the RS Modernization Project deliverables and documents will be developed and agreed to by the Agency and the Vendor at the beginning of the Project Management Phase and subject to change at the discretion of the Agency.

At a minimum, the Vendor must deliver a draft template with an annotated table of contents that will reflect topics to be covered that will cover the acceptance criteria. The acceptance criteria will be defined prior to the draft template. All deliverables submitted to the Agency from any and all Vendors must have, at a minimum, a cover letter outlining contents for delivery approval and a copy of the deliverables in electronic form, as directed by the RS Project Manager.

On receipt of a deliverable, the RS Project Manager will coordinate, manage, and monitor the review and comments by the IV&V consultant, if needed, and the Agency staff and will convene, as necessary, a review panel to review the deliverable. The RS Project Manager may also request a walkthrough of any deliverable submitted by the Vendor.

The deliverable will be reviewed within 10 working days after the receipt date, which is not counted as one of the 10 days, unless otherwise determined by the RS Project Manager**. Additional review time may be required at the discretion of the RS Project Manager, who will notify all impacted Vendors.** If the deliverable is determined to be in need of modification, the RS Project Manager will send written notification to the Vendor outlining the changes and reason(s) for the changes. The Vendor will make the corrections within 10 working days and resubmit the deliverable to the RS Project Manager for final review.

Once all comments have been incorporated and the deliverable meets readiness for use and compliance with content requirements, the deliverable will be submitted to the Agency for formal acceptance and written approval. An acceptance letter, signed by the Agency, will be submitted to the Vendor through the RS Project Manager.

The Change Control Board for the RS Modernization Project or its delegated representative must approve all identified deliverables due under this RFP. Approved deliverables means that the deliverable is of acceptable quality and content, without any Medicaid reviewer recommended changes or unacceptable comments. The RS Project Manager shall be responsible for recording, tracking, and marking the Medicaid accepted deliverables as "APPROVED." ***Medicaid shall pay the awarded Vendor for approved deliverables only.***

Please note that Medicaid reserves the right to negotiate with the Vendor to reasonably change the deliverable due dates or timeframes as appropriate to assure timely completion of the engagement without any changes in the Vendor's contracted bid prices.

2.3.3 Deliverable Acceptance Criteria

The following criteria will be used by the Agency to determine acceptance of the services and/or deliverables provided by the Vendor under this RFP:

- Project plans to be executed according to a standard dictated by the RS Deputy Project Manager

- Deliverables document the validity of the requested development process relative to current industry standards
- Documentation and deliverables conform to the acceptance criteria specified for each of the activities and tasks in section 2.6 and the acceptance and adequacy standards dictated by the RS Deputy Project Manager
- All required documentation, as specified by the RS Deputy Project Manager, will be delivered within mutually agreed-upon timeframes
- All required documentation will meet minimum standards for quality as specified by the RS Deputy Project Manager

2.3.4 Agency Development Activity Major Milestones

The following sections detail the major development tasks expected to be accomplished. These tasks are considered not to necessarily be waterfall lifecycle phases, but rather generic statements of work that in many cases can be accomplished within successive iterations. The term 'Milestone' is used for the control points that will apply regardless of the development approach adopted. The vendor will place these control points into its schedule and incorporate them into its life cycle proposal.

2.3.4.1 Milestones

Proposal Award

The Agency selection of a winning proposal which addresses both the requirements of this RFP and the associated Eligibility Determination System Requirements Specification constitutes the first Vendor-related development milestone. The winning proposal will address as much of the criteria of the Preliminary Design Review milestone defined below as possible with the information available prior to contract award. Contract award will signify Agency approval to proceed to the next development milestone, Preliminary Design Review. After the winning Vendor arrives, a short period of requirements validation will occur. It is expected that Vendor architectural concepts may be modified as the result of a deeper understanding of Agency needs and environment.

Preliminary Design Review Milestone

The Preliminary Design Review is a major Agency control milestone for the project which is intended to address the RS's Lifecycle Objectives. For at least one feasible proposed architecture solution, this milestone shall establish that core operational concepts will be supported and core requirements will be satisfied. If a prototype is used, the approach is faithful to the prototype. The system must be buildable within the budgets and schedules established by the Agency and demonstrate a viable business case. As the result of this milestone, key Agency stakeholders commit to support continuing to the next major milestone, Detailed Design Review, which addresses Lifecycle Architecture.

At this milestone, the following has been accomplished:

1. The top-level scope and system objectives are defined and understood. The system boundary and environmental parameters have been established. Concepts and scenarios for operations and maintenance are defined. Organizational lifecycle responsibilities for Stakeholders are agreed to. Concepts that offer new capabilities, enhanced overall performance, or reduced stakeholders total ownership costs of the system lifecycle are identified.
2. Key usage scenarios are validated and can be exercised through prototyping or simulation. Critical conceptual risks are identified and resolved.
3. An assessment of feasible system concepts and solutions is made, including enabling systems throughout the lifecycle, to determine satisfaction with both business and technical stakeholder objectives. This can be done through analysis, measurements, prototyping, simulation, etc. Business objectives are analyzed for requirements and feasible architectures.
4. Top-level functions, interfaces, quality attribute levels are defined, including system growth and priorities, prototypes, and stakeholder concurrence on essentials. The preparation and base-lining of stakeholder requirements and preliminary system requirements (technical specifications for selected system and usability specifications for the envisioned human-system interface). The identification and initial specification of the services needed from enabling systems throughout the lifecycle is accomplished.
5. The top-level definition of one or more feasible architecture is determined, including physical and logical relationships, choices of COTS and reusable software elements, and the identification of infeasible architecture options.
6. Lifecycle stakeholders are identified, including users, developers, maintainers, operators, the general public, and others. The top-level lifecycle process model stages and increments are identified. Concepts of execution for each stage are identified and refined.
7. Risks are identified and assessed. Mitigation plans are established for subsequent phases of the lifecycle.
8. Plans and exit criteria for the Development Phase are defined and agreed to.
9. The Agency agrees that satisfaction of the criteria for this phase have been accomplished and approves continuing to the next major milestone.

Detailed Design Review Milestone

The Detailed Design Review is a major Agency control milestone for the project which is intended to address the Eligibility Determination System's Lifecycle Architecture. This milestone is intended to demonstrate that, for at least one architecture, the elaborated operational concept and system requirements are supported. The development is faithful to the prototype. The system is buildable within the budgets and schedules established by the Agency. All major risks have been resolved or covered by a risk management plan. Key stakeholders are committed to support the full lifecycle. The initial operational requirements can be implemented. System operation and support plans have been prepared. Implementation planning has occurred to assure that site preparation and system transition will be successful. Plans for users, operators,

and maintainers to be trained and assume their new roles exist. As the result of this milestone, key Agency stakeholders commit to support continuing to the next major milestone, the Operational Readiness Review, which addresses the system's Initial Operational Capability.

At this milestone, the following has been accomplished:

1. The system's objectives and operational concepts have been incrementally elaborated. System requirements, budget and schedule baselines, and lifecycle ownership estimates have been evaluated and refined.
2. A prototype or partial system is built.
3. Top-level functions, interfaces, quality attributes, and prototypes have been incrementally elaborated. Items not yet addressed are identified. Stakeholder concurrence on priority concerns is accomplished. Requirements for enabling systems are refined and base lined. It is confirmed that the system meets all stakeholder and system requirements and is producible, operable, supportable, and is cost effective for stakeholders.
4. The system and software architecture has been incrementally elaborated. A system architecture comprised of hardware elements, software elements and humans and their interfaces (internal and external) exists. Physical and logical components, connectors, configurations, and constraints are identified. COTS and reuse choices are made. Domain architecture and architectural styles are determined. Architectural evolution parameters are defined. Technical information exists, including but not limited to:
    a. Hardware diagrams and models.
    b. Software design documentation.
    c. Interface specifications.
    d. Production plans.
    e. Operating instructions.
    f. Training manuals.
    g. Maintenance procedures.
    h. Retirement considerations.
    i. Definition of the enabling services required in subsequent lifecycle stages.
5. Consistency is assured and has been verified and validated among all elements. Major risks are resolved or covered by a risk management plan. Current risks are identified and mitigated.
6. Exit criteria for this stage have been satisfied. Plans and exit criteria for the next stage are approved.
7. Approval is obtained to proceed to the next phase.

Implementation Readiness Milestone

The Implementation Readiness Milestone or control milestone is the Initial Operating Capability (IOC) of the system. It will be used to determine when the entire system is operationally capable. This milestone will occur prior to the system being deployed operationally as a pilot. The Agency will expect a phased implementation of the overall system, culminating with an Operational Readiness Review. The IOC will reflect the earliest time at which the system is operational, not the time at which it has assumed processing responsibility for the entire Agency.

The key elements of the IOC Milestone for the project are that the software preparation, including both operational and support with appropriate documentation; data preparation or conversion; the necessary licenses and rights for COTS or reusable software, and appropriate qualification and compliance testing are satisfactorily complete. The site preparation, including facilities, equipment, supplies, and COTS Vendor support arrangements are ready. The user, operator, and maintainer preparation (including selection, teambuilding, training, and qualification for familiarization, usage, operations, or maintenance) has been completed and the system is ready for operation.

At this milestone, as a minimum, the following will have been accomplished:

1. The system capability will be qualified through testing.
2. Resources, material, services, and system elements have been acquired to support production.
3. System outcomes are produced according to approved and qualified production information.
4. Concepts for execution of all succeeding lifecycle stages are updated.
5. Current risks and mitigating actions are identified.
6. Experienced personnel competent to operate the system and provide operational services exist.
7. Trained personnel exist who will maintain and provide support services.
8. Organizational interfaces between the operating and production organization exist that ensure problem resolution and corrective actions.
9. System products and services are ready to be maintained through support services, including logistics to operational sites.
10. All required logistical support, including spare parts inventory capable of satisfying operational availability goals exist.
11. The system is installed and is capable of being operated and of providing sustainable operational services.
12. The system is ready to be maintained and to correct design deficiencies as they are identified.
13. The system has been installed so as to allow the collection of performance and cost monitoring and assessment to confirm conformance to service objectives.

14. The system has been installed so as to facilitate the identification of problems or deficiencies, informing appropriate organizations (user, development, production, or support) of the need for corrective action.
15. The system has been installed so as to facilitate system enhancement through stakeholder feedback.
16. End of stage exit criteria have been satisfied.
17. Approval is granted to proceed to the Operations and Maintenance stages.

Operational Readiness Review (ORR) (Go-Live) Milestone

The Operational Readiness Review (ORR) will be considered the system Go Live point. All of the Implementation Readiness Milestone criteria, updated as necessary for the pilot experience, will be applied to this milestone.

CMS Certification Milestone

The CMS Certification Milestone will occur after six months of system operation, and will serve as a CMS post-implementation review. The criteria for the Certification are identified in the CMS Enterprise Certification Toolkit (https://www.cms.gov/MMIS/09_MECT.asp). At this time, the Agency anticipates this certification to be accomplished by means of the checklists in the Toolkit rather than an onsite CMS assessment.

2.4 Phases and Timeline

In order to meet the very aggressive timeline of being ready for pre-enrollment activities with the Exchange by July 2013; the Agency realizes that the integration and implementation of the Eligibility Determination System will need to be a Phased approach. All functionality necessary to meet this pre-enrollment objective will need to be designed, integrated and by June 2013.

Phase I is to be completed in time for pre-enrollment July 2013. At a minimum the following should be completed (Milestone descriptions can be found in section 2.3.4.1):

- Procurement and Proposal Award Preliminary Design Review Detailed Design Review Phase I High Level System Functionality
    - Standardized application created (paper & web)
    - Accept and verify application for completeness and accuracy (field level edits)
    - Generate communication to Individuals to correct/complete application
    - Interface with Exchange established
        - Accept request regarding account existence
        - Determine if account exists in Medicaid/CHIP
        - Return message and applicable information
    - Create individual account
    - Update account with initial application or updated information
    - Determine eligibility via Express Lane Eligibility

- Verification of citizenship (interface to federal hub)
  - Generate communication to Individual to verify citizenship or status as a national or lawful presence if it can't be verified via SSA or DHS
- Verification of incarceration status
  - Generate communication to Individual to provide documentation verifying incarceration status if it can't be verified
- Verification of income (interface to hub)
- Determine Medicaid/CHIP eligibility based on MAGI
- Assess application to determine Medicaid/CHIP eligibility based on factors other than MAGI
- Generate communication to Individual for additional information
- Generate communication to Individual of eligibility/ineligibility
- Business Rules to complete the above functionality
- Workflow rules to complete the above functionality
- Interface to CHIP

- Any requirement the Vendor needs to complete in order to meet compliance with ACA should be considered Phase I. This may vary from Vendor to Vendor depending on their solution.
- Implementation Readiness of Phase I Operational Readiness Review (Go-Live) of Phase I All other non-essential requirements will be considered as Phase II.

2.5 Project Lifecycle Activities

The Alabama RS Modernization project has been divided into 28 major Lifecycle Activities. The Activity name and a high-level overview of the activity are explained in the following Table 5 Project Activities. Further details regarding the tasks and deliverables for each of the activities listed in Table 5 - Project Activities are found in Subsection 2.6. The Medicaid Agency requires that the development and delivery of the Eligibility Determination System will be accomplished in the most effective way possible, so long as the development and delivery conforms to the recognized underlying system and software engineering industry principles and standards. Those principles have been grouped into the activities listed below. These activities describe the objectives, descriptions, and expected outcomes of each. The Agency expects Vendor deliverables to be the result of these activities even when they are not explicitly identified as individual deliverables in this contract. The Agency reserves the right to verify and validate selected activities independently. When a determination is made that deliverables are being produced without conformance to the underlying principles defined below, the Agency may consider the level of risk in the delivery to be unacceptable until the Vendor can demonstrate that these activity principles have been incorporated into the Vendor's delivery system.

Table 5: Project Activities

No.	Activity	Description	Due
1	Project Planning	The Project Planning activity includes preparation of a kick-off presentation, final project plan, tasks and deliverables for reporting, configuration management, and change control for requirements. Identify Agency documentation required by vendor to complete this activity.	Four weeks from project initiation Note: Initial Project Plan is due with proposal – refer to Section 5.3.7.4.4
2	Project Assessment & Control	The Project Assessment and Control activity is the validation of conformance to the project to the plans, tasks, and schedule. It is also to support process improvement.	To Be Determined (TBD) by project plan
3	Decision Management	The Decision Management activity is the process to select the most beneficial course of project action.	TBD by project plan
4	Risk Management	This activity is a continuous process to identify, analyze, treat and monitor risks to the project.	TBD by project plan
5	Configuration Management	The Configuration Management activity establishes and maintains the integrity of all identified outputs of a project or process	TBD by project plan
6	Requirements Analysis & Management	This activity includes the tasks of requirements documentation, validation and traceability. Identify Agency documentation required by vendor to complete this activity.	TBD by project plan
7	Conceptual Architectural Design	This activity includes the tasks of preliminary rules and workflows, methodology for conceptual design, the specifications for the conceptual architectural design, and a gap analysis that documents the gaps between current practice and future vision of the Eligibility Determination System.	TBD by project plan
8	Detail Design	The detail design activities include finalization of requirements and specifications for all system objects, such as programs, screens, business rules, interfaces, reports, templates, and forms.	TBD by project plan
9	Security	The security activities address how the system data will be protected, accessed, and in compliance with law, standards, and best practices.	TBD by project plan
10	Continuity of Operations	This activity is the development of a disaster recovery plan that defines procedures and process throughout the project until system implementation.	TBD by project plan
11	Knowledge	The end user knowledge management activities	TBD by project

No.	Activity	Description	Due
	Management	include developing and delivering training necessary to ensure effective use and reliable operation of the new Eligibility Determination System. . It also involves specialized training for Agency Help Desk. The technical training activities ensure that sufficient members of the State receive hands-on training and classroom training to maintain and enhance the new Eligibility Determination System during and after the Warranty Period.	plan
12	Organization Change Management	This activity coordinates the transition from the current to the future business processes and organizational structure while managing stakeholder expectations. It incorporates effective communication so that all stakeholders are kept apprised of the changes that will impact their way of doing business.	TBD by project plan
13	Data Conversion	The Conversion and migration activity includes tasks for planning, coding, and executing the conversion and migration processes and a plan to clean up the data prior to conversion and migration.	TBD by project plan
14	Development	The Development activities result in the construction of the system and the project's development library.	TBD by project plan
15	System Integration	The System Integration activities will begin the process of bringing together component subsystems and ensuring that those subsystems function as a whole.	TBD by project plan
16	System Implementation	.This activity results in a tested and operational Eligibility Determination System being put into production with minimal disruption to applicant/beneficiaries.	TBD by project plan
17	Testing	The testing activities ensure the operations and hardware/software and telecommunications aspects of the new Eligibility Determination System are functioning as designed.	TBD by project plan
18	QA	The Quality Assurance activities includes tasks for planning and executing a methodology for the Vendor to ensure internally that standards, processes and products are in compliance.	TBD by project plan
19	Software Verification	The purpose of the Software Verification process is to confirm that each software work product and/or service of the process or project properly reflects the specified requirements.	TBD by project plan

No.	Activity	Description	Due
20	Software Validation	The purpose of the Software Validation process is to confirm that the requirements for specific intended use of the software work product are fulfilled.	TBD by project plan
21	Software Reviews	The purpose of the Software Review Process is to maintain a common understanding with the stakeholders of the progress against objectives of the agreement and what shall be done to help ensure the development of a product that satisfies the stakeholders.	TBD by project plan
22	Software Problem Resolution Process	The purpose of the Software Problem Resolution process is to ensure that all discovered problems are identified, analyzed, managed and controlled to resolution.	TBD by project plan
23	UAT	This activity implements a vigorous User Acceptance Testing (UAT) process in order to put into production a tested and operational Eligibility Determination System with minimal disruption to applicant/beneficiaries and State personnel.	TBD by project plan
24	Software Implementation Process	This activity produces a specified system element as a software product or service. This process results in a software item that satisfies architectural design requirements through verification of stakeholder requirements through validation.	TBD by project plan
25	Transition and Stabilization Maintenance	The Transition and Maintenance activities ensure that operational support and continuing maintenance of the new Eligibility Determination System is successfully transitioned to the State.	TBD by project plan
26	Document Management	The purpose of the software Documentation Management process is to develop and maintain the recorded software information produced by process.	TBD by project plan
27	Operations	The purpose of the software Operation processes to operate the software product in its intended environment and to provide support to the Agency of the software product.	TBD by project plan
28	Federal Review and Certification	The Federal Review and Certification activities include assisting the State in preparing for and conducting the Federal Review in order to determine if the Eligibility Determination System is federally compliant.	TBD by project plan

2.6 Work Activities, Tasks, and Deliverables

As explained in Section 2.5, this project consists of many activities and for each activity there are several tasks that need to be performed or completed by the selected Vendor. These tasks are considered to be deliverables and the two words may be used interchangeably. A summary of the activities and related tasks to be completed appears in Table 6.

These tasks will be the basis against which the Vendor's performance will be measured. For the purpose of preparing proposals, Vendors shall plan that the system will be ready for Pilot approximately a year before receiving CMS certification. The hardware must be installed and fully operational by the dates specified in the State approved Project Plan.

Each task listed in the table below is a requirement that must be addressed in the Vendor's proposal. Please note that a comprehensive initial Project Work Plan is a major required component for responding to this section of the RFP.

The following table, Table 6 Project Tasks and Deliverables, lists those tasks and deliverables that will be required by the DDI Vendor.

Table 6: Project Tasks and Deliverables

Activities	Tasks
Project Planning	1.1: Project Plan V1
Project Planning	1.2: Updated Project Plan
Project Assessment & Control	2.1: Weekly Project Status Reports
Project Assessment & Control	2.2: Corrective Action Plan Methodology
Decision Management	3.1: Decision Management Plan
Decision Management	3.2: Decisions Outcomes
Risk Management	4.1:Risk Management Plan
Risk Management	4.2: Lessons Learned
Configuration Management	5.1: Configuration Management Plan
Requirements Analysis & Management	6.1: Requirements Documentation
Requirements Analysis & Management	6.2: Requirements Validation and Traceability Plan
Requirements Analysis & Management	6.3 Requirement Change Control Plan
Requirements Analysis & Management	6.4 Requirements Traceability Matrix
Conceptual Architectural Design	7.1: Conceptual Architectural Design Methodology and Session Plan
Conceptual Architectural Design	7.2: Conceptual Architectural System Design
Conceptual Architectural Design	7.3: Business Rules Plan
Conceptual Architectural Design	7.4: Workflow Plan
Detail Design	8.1: Detail System Design Session Plan
Detail Design	8.2: Detail System Design Document (DSD)
Detail Design	8.3: Business Rules Design
Detail Design	8.4: Interface Detail Design
Detail Design	8.5: Forms, Templates, and Notices Detail Design
Detail Design	8.6: Alerts Detail Design
Detail Design	8.7: Reports Detail Design
Security	9.1: Security Design Document
Security	9.2: User Access Security Plan

Activities	Tasks
Continuity of Operations	10.1: Disaster Recovery Plan
Knowledge Management	11.1: Knowledge Management Strategy
Knowledge Management	11.2: Comprehensive Knowledge Management Plan
Knowledge Management	11.3: End User Environment(s)
Knowledge Management	11.4: Instructional Materials V1 and *V2
Knowledge Management	11.5: Online User Aids
Knowledge Management	11.6: Knowledge Management Progress Report
Knowledge Management	11.7: Knowledge Management Final Report
Knowledge Management	11.8: Project Staff Preparation Plan
Organization Change Management	12.1 Comprehensive Change Management and Communication Plan
Data Conversion	13.1: Data Conversion and Migration Strategy
Data Conversion	13.2: Data Conversion and Migration Plan
Data Conversion	13.3: Data Cleanup Plan
Data Conversion	13.4: Data Conversion and Migration Results
Development	14.1: Software Development Plan
Development	14.2: Weekly Construction Summary Report
Development	14.3: Development Library
System Integration	15.1: System Integration Strategy
System Integration	15.2: System Integration Plan
System Implementation	16.1: Hardware and Software Plan
System Implementation	16.2: Pilot Implementation Plan
System Implementation	16.3: Pilot Support and Operations Plan
System Implementation	16.4: Pilot Test and Analysis
System Implementation	16.5:Statewide Implementation Plan
System Implementation	16.6: Network, Desktop and Production Requirements
System Implementation	16.7: Final Readiness Assessment
Testing	17.1: Master Test Plan
Testing	17.2: Unit and Integration Test Plan and Documentation
Testing	17.3: System Test Plan
Testing	17.4: Interface Test Plan
Testing	17.5: Performance, Volume and Stress Test Plan
Testing	17.6: Conversion and Migration Test Plan
Testing	17.7: System Test Scripts
Testing	17.8: Testing Results Weekly Report
Testing	17.9: Conversion and Migration Weekly Test Results Report
Testing	17.10: Performance Monitoring Plan and Weekly Report
Testing	17.11: Operational Readiness Report
QA	18.1: Quality Assurance Plan

Activities	Tasks
QA	18.2: Quality Assurance Reviews
Software Verification	19.0: No associated deliverable
Software Validation	20.0: No associated deliverable
Software Reviews	21.0: No associated deliverable
Software Problem Resolution Process	22.1: Software Resolution Plan
UAT	23.1: UAT Test Environment and Tools
UAT	23.2: Weekly UAT Status Reports
UAT	23.3: Operational Readiness Report
Software Implementation Process	24: No associated deliverable
Transition and Stabilization Maintenance	25.1: Transition Plan
Transition and Stabilization Maintenance	25.2: Post-Implementation Evaluations
Transition and Stabilization Maintenance	25.3: System Updated Documentation
Documentation Management	26.1: Document Management Plan
Operations	27.1: Operating Procedures
Operations	27.2: Help Desk Transition Plan
Operations	27.3: Help Desk Plan, Public Facing Help Desk Plan
Operations	27.4: Help Desk Procedures Manual
Federal Review and Certification	28.1: Assist with Federal Review

2.6.1 Activity 1: Project Planning

Objective

Ensure that the Eligibility Determination System meets Alabama's specific requirements within a reasonable time and budget. The purpose of the project planning activity is to describe the expected Vendor process to produce and communicate effective and workable project plans.

Description

This process determines the scope of the project management and technical activities; identifies process outputs, project tasks, and deliverables; and establishes schedules for project tasks, including achievement criteria and required resources to accomplish project tasks.

As a result of successful implementation of the project planning process:

- The scope of the work of the project is defined
- The feasibility of achieving the goals of the project with available resources and constraints is evaluated
- The Agency documentation required will be identified
- The tasks and resources necessary to complete the work are sized and estimated
- Interfaces between elements in the project, and with other project and organizational units, are defined

- Plans for the execution of the project are developed
- Plans for the execution of the project are activated

The project planning activity is designed to ensure that the project progresses according to the approved detailed Project Plan. The project management activity spans the duration of the project and the Project Plan is the primary control element of the project. Once the Project Plan is approved by the Agency, the selected Vendor shall maintain and modify the approved Project Plan throughout the project, with the Agency's approval, by updating it to reflect the evolving schedule, priorities, and resources (i.e., it is a "living document"). This project plan also includes a high-level description of other activities, tasks, and deliverables such as project assessment and control, configuration management, risk management, etc. that are defined later in this RFP and will have a separate plan. All of the tasks and deliverables in this activity contribute to the effective management of the project.

The Vendor plans for the execution of the project shall contain descriptions of the associated activities and tasks that include, but are not limited to, the following:

- Schedules for the timely completion of tasks
- Estimation of effort
- Adequate resources needed to execute the tasks
- Allocation of tasks
- Assignment of responsibilities
- Quantifications of risks associated with tasks or the process itself
- Quality assurance measures to be employed throughout the project
- Costs or resource hours associated with process execution
- Provision of environment and infrastructure
- Definition and maintenance of a lifecycle model that is comprised of stages using the defined lifecycle models for the projects of the organization

Deliverables

The following lists the deliverables for the Project Management activity:

- 1.1: Project Plan *V1
- 1.2: Updated Project Plan

*The V1 indicator in the name of the Project Plan designates the first version of the Project Plan; **Project Plan V1 must be included in the proposal**. The selected Vendor will continue to update the Project Plan throughout the life of the project.

2.6.1.1 Task 1.1: Project Plan *V1

The Project Plan task is for development and execution of the Work Breakdown Structure (WBS) and Schedule (Project Plan), which describes the Vendor's plans for managing the

project. The Project Plan creates a consistent, coherent document that is used to guide both Project execution and Project control. It will be identified as the baseline plan for future use in comparing current plans throughout the life of the project to assess progress.

At a minimum, the Vendor's Project Plan shall include at a high level the Vendor's Project Organization and Resource and Staffing Plan, Management Approach, Quality Management Plan, Configuration Management Plan, Issue and Risk Management Plan and Project Schedule. The actual details of these plans are identified later in this document as separate deliverables.

- The Project Organization and Resource and Staffing Plan will describe the organization structure, roles, and responsibilities of the personnel, staffing levels, and other resources that will be utilized to provide successful Project management. A description of the criteria and process used to develop the staffing estimates, criteria, and process used to determine staffing qualifications, detailed organizational charts, and a resource-loading chart shall be included. The organization structure must identify key personnel by name, title and job function, the percentage of time onsite, and whether each position will be filled by a Vendor employee or a subcontractor to the Vendor.
- The Management Approach shall describe the Vendor's approach to management and provide a preliminary detailed Project Plan, assumptions, list of required documentation, and master schedule of milestones activities, tasks, and deliverables.
- The Quality Management Approach shall describe how the Vendor's Quality Management Plan supports the Vendor's internal quality processes and conforms to the Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK), Fourth Edition (PMBOK Guide, American National Standards Institute (ANSI)/PMI 99-00\1-2008) and to ISO/IEEE 12207-2008, System and Software Engineering - Software Lifecycle Processes.
- The Configuration Management Plan shall describe the administrative and technical procedures to be used throughout the project lifecycle to control system and project artifacts. The Vendor shall propose a tool for monitoring the processes to be followed for change and version control, the methods and tools to be used, and the approach to be followed. At a minimum, the plan shall describe the approach and scope. The approach includes explaining the methodology, integration and configuration management. The scope will describe the tasks and activities that will be performed as part of project configuration management including configuration identification, system release management, version control, audit control, and roles and responsibilities of personnel/resources.
- The Issue and Risk Management Plan shall describe the approach for issue/problem and risk/mitigation identification, tracking, reporting, assignment, resolution, and escalation. The plan shall include description of the automated tracking and management system(s) for capturing and tracking all issues/problems, action items, and risk/mitigation information.

The Project Plan shall include an approach which describes the phased approach with a set of critical core features **by July 1, 2013.** The Agency is faced with additional 400,000-500,000 new beneficiaries eligible for benefits as the result of the ACA. To mitigate this risk, the Vendor

Project Plan shall describe a series of decision points at which the status of development and estimated system completion can be assessed, and also shall identify appropriate escalation, planning activities, and implementation decisions.

The RS Project Team has developed an initial project schedule using the State's IT Methodology together with project schedules from similar projects within Alabama and in other states, Table 7 reflects Agency proposed dates to meet these goals; however, the Agency is open to Vendor proposed phases as long as ACA required timelines are met.

Table 7: Milestone Schedule

PHASE	SCHEDULE
Procurement	June 2011 – April 2012
Phase I Preliminary Design Review	April 2012 – August 2012
Phase I Detail Design Review	August 2012 – January 2013
Phase I Implementation Readiness	January 2013 – May 2013
Phase I Operational Readiness Review	May 2013 – July 2013
Phase II Preliminary Design Review	September 2012 – April 2014
Phase II Detail Design Review	February 2013 – February 2014
Phase II Implementation Readiness	June 2013 – July 2014
Phase II Operational Readiness Review	August 2013 – October 2014

State Responsibility

- Provide input and clarifications to the Vendor as needed and respond to questions that the Vendors submit
- Provide access to policies and procedures related to Vendor deliverables
- Review and approve Project Plan V1

Vendor Responsibility

- Create and submit Project Plan V1 as part of the proposal
- Correct any issues identified by the Agency prior to initiating the Project Plan
- Review State policies prior to creating the plan

Acceptance Criteria

- 1.1: Project Plan V1
- Documentation of the Project Plan V1 as described in this RFP
- Inclusion of a WBS that details each deliverable in this RFP and other tasks and products needed for successful design development and implementation of the Alabama Eligibility Determination System

2.6.1.2 Task 1.2: Updated Project Plan

This task addresses subsequent versions of the Project Plan. As stated previously, the Project Plan must be submitted with the Proposal. At a minimum, on a weekly basis, the Vendor shall submit updates to the Project Schedule. Updates to the Project Plan will be made as needed with a formal review at least quarterly. Updates to the Project Plan and/or Schedule shall be made on and posted to a SharePoint location to be defined by the Agency. The Agency considers the Project Plan to be a living document and wants it immediately accessible and current. When updates are made the Vendor must post a summary or explanation of changes for historical purposes.

State Responsibility

- Review and approve deliverables
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Update plan as needed to accommodate changes in scope
- At a minimum, present changes to the plan on a monthly basis

Acceptance Criteria

- 1.2: Updated Project Plan
- Documentation of the Project Plan as described in this RFP
- Inclusion of a WBS that details each deliverable in this RFP and other tasks and products needed for successful design, development and implementation of the Alabama Eligibility Determination System
- Clear representation of what was changed in the plan

2.6.2 Activity 2: Project Assessment and Control

Objective

Monitor the status of project activities and take corrective action when required in order to ensure successful delivery of the new Eligibility Determination System.

Description

The purposes of project assessment control processes are to determine the status of the project and ensure that the project performs according to plans and schedules, and within projected budgets, and that it satisfies technical objectives. This process includes redirecting the project activities, as appropriate, to correct identify deviations and variations from other project management or technical processes. Redirection may include re-planning as appropriate.

As a result of the successful implementation of the project assessment and control process:

- Progress of the project is monitored and reported
- Interfaces between elements in the project, and with other project and organizational units are monitored
- Actions to correct deviations from the plan and to prevent reoccurrence of problems identified in the project are taken when project targets are not achieved
- Project objectives are achieved and recorded
- The Vendor Project Manager (PM) shall monitor the execution of the project, providing both internal reporting of the project progress and external reporting to the Agency
- The Vendor PM shall investigate, analyze, and resolve problems discovered during the execution of the project. The resolution of problems may result in changes to plans. It is the PM's responsibility to ensure that the impact of any change is determined, controlled, and monitored. Problems and their resolution shall be documented. The Vendor PM shall report, at agreed points, the progress of the project, declaring adherence to the plans and resolving instances of the lack of progress. These include internal and external reporting as required by the organizational procedures and the contract.
- The Vendor PM shall ensure that the software products and plans are evaluated for satisfaction of requirements. The PM shall assist the evaluation of the results of software products, activities, and tasks completed during the execution of the project for achievement of the objectives and completion of the plans.

To accomplish the necessary control in the project, measurement processes will be used to collect, analyze, and report data relating to the products developed and processes implemented within the organizational unit, to support effective management of processes, and to objectively demonstrate the quality of the products.

As a result of successful implementation of the measurement process:

- The information needs of technical and management processes are identified
- An appropriate set of measures, driven by the information needs are identified and/or developed
- Measurement activities are defined in the plan
- The required data are collected, stored, analyzed and the results interpreted
- Information products are used to support decisions and provide an objective basis for communication
- The measurement processes and measures are evaluated
- Improvements are communicated to the measurement process owner

Deliverables

The following lists the deliverables for the Project Assessment and Control activity:

- 2.1: Weekly Project Status Reports

- 2.2: Corrective Action Plan Methodology

2.6.2.1 Task 2.1: Weekly Project Status Reports

In this task, the Vendor produces the Weekly Project Status Reports, which shall conform to reporting practices as described in Section 10.3 of the Project Management Body of Knowledge published by the Project Management Institute Fourth Edition (PMBOK Guide, ANSI/PMI 99-001-2008). At a minimum, the Project Status Report will include accomplishments, critical issues, personnel utilized, activity, tasks, defect reporting (as appropriate during the testing and validation phase) and deliverable status, budget status, and items planned for the next reporting period. It will also summarize schedule performance and budget performance to compare actual project performance with plan(s).

State Responsibility

- Review and approve project status reporting protocols
- Review and approve deliverables

Vendor Responsibility

- Obtain approval for report format
- Complete Weekly Project Status Report

Acceptance Criteria

- 2.1: Weekly Project Status Reports
- Use of approved format
- Inclusion of accomplishments, critical issues, personnel utilized, and items planned for the next reporting period
- Reporting of identified issues and risks and associated mitigation strategies
- Comparison of schedule and budget performance to actual project plan
- Use of PMBOK methodology
- Submission of Weekly Status Report
- Provide input and clarifications to the Vendor as needed
- Provide final approval on all tools that Vendor will use on the project

2.6.2.2 Task 2.2 Corrective Action Plan Methodology

Corrective action plans shall address a practical strategy to resolve any impediments, the action to be taken, and how it will be carried out. The plan shall be organized, purposeful, accountable, and measurable. The methodology shall provide a template of how the item in need of correction will be documented. The template shall include a description of the problem to correct the owner accountable for the results, actions, deadlines and specify what will be the outcome and how it can be measured.

State Responsibility

- Review and approve corrective action plans
- Own or participate in resolution when applicable

Vendor Responsibility

- Obtain consensus of corrective action plan template
- Use approved corrective action plan template
- Conduct analysis of impediment in need of corrective action
- Monitor, document and report on status of corrective action
- Own or participate in resolution when applicable

Acceptance Criteria

- Task 2.2: Corrective Action Plan Methodology
- Inclusion of a corrective action plan template that is acceptable to the Agency
- Inclusion of measurable actions to gauge success
- Inclusion of specific steps to manage the corrective action plan process to acceptable resolution

2.6.3 Activity 3: Decision Management

Objective

Promote effective decision-making in a timely fashion that considers all of the variables that can be impacted.

Description

The Vendor shall define a decision making strategy that is capable of addressing complex decisions expected to be required during development. This strategy shall be part of the overall project management approach. The Vendor shall involve relevant parties and decision-making in order to draw on experience and knowledge. Circumstances requiring a decision shall be identified. The Vendor shall select and declare the decision making strategy for each decision situation. The Vendor shall identify desired outcomes and measurable success criteria.

The Vendor shall evaluate the balance consequences of alternative actions, using the defined decision-making strategy, to arrive at an optimization of, or improvement in, and identify decision situation.

The Vendor shall record, track, evaluate and report decision-making outcomes to confirm that problems have been effectively resolved, adverse trends have been reversed an advantage has been taken of opportunities. The project shall maintain records of problems and opportunities and their disposition in a manner that permits auditing and learning from experience.

Deliverables

The following lists the deliverables for the Decision Management activity:

- 3.1: Decision Management Plan
- 3.2: Decision Outcomes

2.6.3.1 Task 3.1: Decision Management Plan

Decision management plans shall address a practical strategy for decision-making, actions to be taken, and implementation. The plan shall be organized, purposeful, accountable, and measurable. The plan shall provide a template of how the item in need of a decision will be documented. The template shall include a description of the decision to be made, stakeholders, pros and cons to each decision considered, actions, deadlines, and shall specify what will be the outcome and who is responsible. The plan shall also address how the decision outcomes will be maintained and traced to other decisions that have been made.

State Responsibility

- Review and approve the decision management plan
- Own or participate in resolution when applicable

Vendor Responsibility

- Obtain consensus of decision template
- Use approved decision management plan template
- Conduct analysis of decisions to be made
- Monitor, document, and report on status of decision-making
- Own or participate in resolution when applicable
- Widely communicate decisions made unless a decision is made to restrict communication of outcome by the State Project Manager

Acceptance Criteria

- Task 3.1: Decision Management Plan
- Inclusion of a decision management plan that is acceptable to the Agency

- Inclusion of measurable actions to gauge timeliness of decision making
- Inclusion of specific steps to manage the decision management process to acceptable resolution

2.6.3.2 Task 3.2: Decisions Outcomes

Decision outcomes must be documented and maintained in a central location for easy access. This task shall describe how the vendor plans to document and communicate decisions.

State Responsibility

- Review and approve the decision outcomes plan

Vendor Responsibility

- Obtain consensus of decision outcomes plan
- Follow decision outcomes process

Acceptance Criteria

- Task 3.2: Decision Outcomes
- Inclusion of a decision outcomes plan that is acceptable to the Agency

2.6.4 Activity 4: Risk Management

Objective

The purpose of the risk management process is to identify, analyze, treat, and monitor risks continuously. The risk management process is a continuous process for systematically addressing risk throughout the lifecycle of a system, software product, or service. It is inclusive of risks related to the acquisition, development, maintenance, or operation of the system.

Description

As a result of successful implementation of the risk management process:

- The scope of risk management to be performed is determined
- Appropriate risk management strategies are defined and implemented
- Risks are identified as they develop during the course of the project
- Risks are analyzed in the priority in which to apply resources to treatment of these risks is determined
- Risk measures are defined, and applied, and assessed to determine changes in the risk status and the progress of the treatment of the activity
- Appropriate treatment is taken to correct or avoid the risk of impact based on its priority, probability, and consequence or other defined risk threshold

- Serious risks are identified and mitigated as early in the life cycle as possible. This may involve prototyping or limited development as early as the start of the project.

The context of the risk management process shall be defined and documented, including a description of stakeholder perspective, risk categories, and a description (perhaps by reference) of the technical and managerial objectives, assumptions and constraints. Risk thresholds, defining the conditions under which a level of risk may be accepted, shall be documented. A risk profile shall be established and maintained. The relevant risk profile shall be communicated periodically to stakeholders based on their needs.

The risks shall be identified by categories described in the risk management context. The probability of occurrence and consequences of each risk shall be estimated. Each risk shall be evaluated against its risk thresholds. For each risk that is above its risk threshold, recommended treatment strategy shall be defined and documented. Measures indicating the effectiveness of the treatment alternative shall also be defined and documented. (Risk treatment strategies include, but are not limited to, eliminating the risk, reducing its probability of occurrence or severity of consequence, or accepting the risk).

The Agency shall be provided alternatives for risk treatment and risk action requests. If the Agency determines that actions shall be taken to make a risk acceptable, the risk treatment alternative shall be implemented. If the Agency accepts the risk that exceeds a threshold, it shall be considered a high priority and monitored continuously to determine if any future risk treatment actions are necessary.

All risks and the risk management process shall be continuously monitored for changes. Risks whose statuses have changed shall undergo risk evaluation. Measures shall be implemented and monitored to evaluate the effectiveness of risk treatments. The project shall continuously monitor for new risks throughout its lifecycle.

Information shall be collected throughout the project lifecycle for purposes of improving the risk management process and generating lessons learned. The risk management process shall be periodically reviewed for its effectiveness and efficiency. Information on the risks identified, their treatment, and the success of treatments shall be reviewed periodically for purposes of identifying systemic project and organizational risks.

Deliverables

- 4.1: Risk Management Plan
- 4.2: Lessons Learned

2.6.4.1 Task 4.1 Risk Management Plan

The Risk Management Plan documents the Vendor's approach to managing the risk management process to include identification, evaluation methodology, treatment, monitoring, and evaluation of the risk management process. The plan shall include any software tools that the Vendor will be using to log risks and track them to resolution. The plan shall include:

- Risk management policies describing the guidelines under which risk management is to be performed
- Risk management process to be implemented
- Responsible parties
- Continuous improvement process for risk avoidance
- Risk categories and profiles
- Risk analysis to include probability and consequences
- Treatment and monitoring

State Responsibility

- Review and approve Risk Management Plan
- Own or participate in the risk management process when applicable

Vendor Responsibility

- Implement the Risk Management Plan
- Conduct analysis of risks
- Monitor, document and report on status of risks
- Own or participate in the risk management process when applicable

Acceptance Criteria

- Task 4.1: Risk Management Plan
- Scope of risk management is determined
- Appropriate risk management strategies are defined and implemented
- Steps to identify risks develop during the project are documented
- Methods to analyze and determine priority of risks are included.
- Identification of what resources shall be applied to the process
- Risk measures are defined as to how they will be applied, and assessed in order to determine whether or not there is a change in the status of risk and the progress of the on-going treatment activities

2.6.4.2 Task 4.2 Lessons Learned

For this task, the Vendor shall collect information regarding Lessons Learned from stakeholders after each major milestone. Information collected shall be documented in a database and reported. The report shall evaluate the lessons learned; evaluate and describe ways to improve in future phases; and identify responsible parties for implementation of the future improvements.

State Responsibility

- Provide State perspective of lessons learned

Vendor Responsibility

- Provide Vendor documented perspective of lessons learned

Acceptance Criteria

- 4.2 Lessons Learned
- Incorporation of lessons learned at each major milestone into a report for Agency distribution
- Evaluation of lessons learned
- Lessons learned include suggestions for improvement
- Suggestions for improvement are incorporated when agreed upon

2.6.5 Activity 5: Configuration Management

Objective

Establish and maintain all versions of system artifacts throughout the lifecycle of the project.

Description

The purpose of the configuration management processes to establish and maintain the integrity of all identified outputs of a project or process and make them available to concerned parties.

As a result of the successful implementation of the configuration management process:

- Configuration management strategies defined
- Roles and responsibilities are defined
- Items requiring configuration management are defined
- Configuration baselines are established
- Changes to items under configuration management are controlled
- Configuration of released items is controlled
- Status of items under configuration management is made available throughout the lifecycle
- Project shall define a configuration management strategy the project shall identify items that are subject to configuration control
- Project shall maintain information on configurations with an appropriate level of integrity and security
- Project shall ensure the changes to configuration baselines are properly identified, recorded, evaluated, approved, incorporated and verified

As a result of successful implementation of the software configuration management process:

- A software configuration management strategy is developed
- Items generated by the process or project are identified, defined and base-lined
- Modifications and releases of the items are controlled
- Modifications and releases are made available to affected parties
- The status of items and modifications are recorded and reported
- The completeness and consistency of the items is insured
- The storage, handling and delivery of the items are controlled

Software configuration management plan shall be developed. The plan shall describe the configuration management activities; procedures and schedule for performing these activities; the organizations responsible for performing these activities; and relationship with other organizations such as software development or maintenance. The plan, which may be part of the system configuration management plan, shall be documented and implemented.

A scheme shall be established for edification of software items and their versions to be controlled for the project. For each software item and its versions, the following shall be identified: the documentation that establishes a baseline, the version references, and any other identification details.

The following shall be performed:

- Identification and recording of change requests
- Analysis and evaluation of the changes
- Approval or disapproval of the request
- Implementation, verification, and release of the modified software item
- An audit trail shall exist, whereby each modification, the reason for the modification, and authorization the modification can be traced. Control and audit of all processes to software controlled items that handle safety or security critical functions shall be performed.

Management records and status reports that show the status and history of controlled software items, including baselines, shall be prepared. Status reports shall include the number of changes for project, the software item versions, release identifiers, the number of releases, and comparison of releases.

The following shall be ensured: the functional completeness of the software items against their requirements, and the physical completeness of the software items (whether their design and code reflect an up-to-date technical description).

The release and delivery of software products and documentation shall be formally controlled. Master copies of code and documentation shall be maintained for the life of the project. The

code and documentation that contain safety or critical functions shall be handled, stored, package, and delivered in accordance with the policies of the organizations involved.

Deliverables

The following lists the deliverables for the Configuration Management activity:

- 5.1: Configuration Management Plan

2.6.5.1 Task 5.1 Configuration Management Plan

The configuration management plan shall define a strategy for the disposition, access, release and control of changes to the items that are subject to configuration control. Although addressed at a high level in the project plan deliverable, the Vendor shall provide the specifics of the strategy in its Configuration Management Plan. Items must be identified that are subject to configuration control and ensure that the execution is recorded, evaluated, approved, incorporated, and verified.

State Responsibility

- Review and approve the Configuration Management Plan

Vendor Responsibility

- Document Configuration Management Plan
- Implement Configuration Management Plan
- Internally audit adherence to Configuration Management Plan and report findings to the Agency

Acceptance Criteria

- 5.1: Configuration Management Plan
- A configuration management strategy is defined
- Items requiring configuration management are defined
- Configuration baselines are established
- Changes to items under configuration management are controlled
- The configuration of released items is controlled
- Environments are defined including, at a minimum, development, test, UAT, training, staging and production environments
- The status of items under configuration management is made available throughout the lifecycle

2.6.6 Activity 6: Requirements Analysis and Management

Objective

Define, analyze, and maintain traceability of system requirements throughout the lifecycle of the system.

Description

The purpose of the Requirements Analysis and Management process is to define the requirements for a system that can provide the services needed by users and other stakeholders in a defined environment. It identifies stakeholders, or stakeholder classes, involved with the system throughout its lifecycle, and their needs and desires. It analyzes and transforms these into a common set of stakeholder requirements that express the intended interaction the system will have with its operational environment and that are the references against which each resulting operational service is validated in order to confirm that the system fulfills its needs.

As a result of successful implementation of the stakeholder requirements definition process:

- The required characteristics in context of use of services are specified
- The constraints on system solution are defined
- Traceability of stakeholder requirements to stakeholders and their needs is achieved
- The basis for defining the system requirements is described
- The basis for validating the conformance of services is defined
- A basis for negotiating the agreement to supply service or product is provided

The project (both Vendor and State Agency staff) shall identify the individual stakeholders or stakeholder classes who have a legitimate interest in the system throughout its lifecycle. The project shall elicit stakeholder requirements. The project shall define the constraints on the system solution that are unavoidable consequences of existing agreements, management decisions, and technical decisions. The vendor shall define a representative set of activity sequences to identify all required services that correspond to anticipated operational and support scenarios and environment. The vendor shall identify the interaction between users and the system, taking into account human capabilities and skills limitations. The project shall specify health, safety, security, environment, and other stakeholder requirements and functions that relate to critical qualities and shall address possible adverse effects of use of the system on human health and safety.

The vendor shall analyze the complete set of elicited requirements. The vendor, in conjunction with the project's governance system, shall resolve requirement problems. The project shall request feedback of the analyzed requirements from applicable stakeholders to ensure that the needs and expectations have been adequately captured and expressed. The project shall establish with stakeholders that their requirements are expressed correctly.

The vendor shall record stakeholder requirements in a form suitable for requirements management throughout the lifecycle and beyond. The vendor shall maintain stakeholder requirements traceability to the sources of stakeholder need.

The purpose of system requirements analysis is to transform the defined stakeholder requirements into a set of desired system technical requirements that will guide the design of the system. As a result of successful implementation of system requirements analysis:

- A defined set of system functional and nonfunctional requirements describing the system to be developed are established
- The appropriate techniques are performed to optimize the preferred project solution
- System requirements are analyzed for correctness and testability
- The impact of system requirements on the operating environment are understood
- The requirements are prioritized, approved and updated as needed
- Consistency and traceability are established between system requirements and the Agency's requirements baseline
- Changes to the baseline are evaluated for cost, schedule and technical impact
- The system requirements are communicated to all affected parties and baselined

The specific intended use of the system to be developed shall be analyzed to specify system requirements. The documented system requirement specification shall include:

- Functions and capabilities of the system
- Business, organizational and user requirements
- Safety, security, human-factors engineering (ergonomics), interface, operations, and maintenance requirements
- Design constraints and qualification requirements

The system requirements shall be evaluated considering the criteria listed below. The results of evaluations shall be documented:

- Traceability to Agency needs
- Consistency with Agency needs
- Testability

Software Requirements establish the requirements of the software elements of the system. As a result:

- Requirements allocated to the software elements of the system and their interfaces are defined
- Software requirements are analyzed for correctness and testability
- Impacts of software requirements on the operating environment are understood
- Consistency and traceability are established between the software requirements and system requirements
- Prioritization for implementing the software requirements is defined

- Software requirements are approved and updated as needed
- Changes to the software requirements are evaluated for cost, schedule and technical impact
- Software requirements are base-lined and communicated to all affected parties

For each software item (for configuration item, if identified) the Vendor shall establish and document software requirements (including the quality characteristics specifications) described below:

- Functional capability specifications, including performance, physical characteristics, and environmental conditions under which the software item is to perform
- Interfaces external to the software item
- Qualification requirements
- Safety specifications, including those related to methods of operation and maintenance, environmental influences, and personal injury, as applicable
- Security specifications, including those related to compromise of sensitive information
- Human factor engineering (ergonomics) specifications, including those related to manual operations, human equipment interactions, constraints on personnel, and areas needing concentrated human attention, that are sensitive to human errors and training
- Data definition and database requirements
- Installation and acceptance requirements of the delivered software product at the operation and maintenance side
- User documentation requirements
- User operation and execution requirements
- User maintenance requirements

The Vendor and Agency shall evaluate the software requirements according to the criteria listed below. The results of the evaluation shall be documented.

- Bi-directional traceability to and from system requirements to design to test scripts
- External consistency with system requirements
- Internal consistency
- Testability
- Feasibility of software design
- Feasibility of operation and maintenance

Deliverables

The following lists the deliverables for the Requirements Management activity:

- 6.1: Requirements Documentation

- 6.2: Requirements Validation and Traceability Plan
- 6.3: Requirement Change Control Plan
- 6.4: Requirement Traceability Matrix

2.6.6.1 Task 6.1: Requirements Documentation

An initial set of Eligibility Determination System requirements were gathered during Phase I of the RS Modernization Project solicited in ITB #09-X-2205831 and are referenced in Section 3 above. During Phase I, these requirements were initially compiled into the Baseline System Requirements and Specifications document based on the results of the MITA Self Assessment and business process reengineering activities. Once the initial Baseline System Requirements and Specifications deliverable document was created, it was updated as a result of Joint Application Requirement (JAR) sessions that were conducted to obtain more detailed requirements.

This activity requires the Vendor to analyze and refine the base-lined requirements previously identified and finalize the functional and technical specifications that will be included in the new Eligibility Determination System. The validated set of Requirements will be updated as subsequent tasks are completed. Additionally, the Requirements will be used to build test scripts and scenarios, and will be fully tested during user acceptance testing. This task must include at a minimum:

- Identification and understanding of all requirements
- Facilitation of design meetings to confirm and capture all requirements
- Validated set of final requirements that are unique, verifiable (testable), bounded and where relationships are defined

State Responsibility

- Provide access to current systems and business documentation, including user manuals, system narratives, program logic, file structures, record forms, data definitions, performance standards, As Is process, and existing baseline requirements
- Clarify, at the Vendor's request, Alabama's policies, regulations, and procedures
- Provide the appropriate staff for requirements sessions that understands the intent of requirements and the State's vision regarding the Eligibility Determination System
- Manage the requirements change management process and conduct Eligibility Determination System Requirements Change Control Board Meetings as needed
- Review and approve the Requirements Documentation

Vendor Responsibility

- Review documentation provided by the State pertaining to the Eligibility Determination System
- Conduct in-depth analysis of existing business, system, and user requirements

- Plan, schedule, and conduct requirements analysis meetings with appropriate State staff
- Document findings of these meetings and prepare draft reports for review and comment by State staff
- Document a final set of requirements in narrative format
- Conduct a walkthrough of the final set of requirements with appropriate State staff
- Prepare a detailed requirements deliverable that shall be used to guide work to be performed in subsequent project tasks
- Participate in the Requirements Change Control Board process as needed

Acceptance Criteria

- 6.1: Requirements Documentation
- Addressing the identification and understanding of requirements throughout the conceptual architectural design, detail design, and testing documentation activities
- Inclusion of changes to requirements that the State approves
- Documentation of the Requirements as described in this RFP
- Resolution of all outstanding issues related to the requirements

2.6.6.2 Task 6.2: Requirements Validation and Traceability Plan

The Requirements Validation and Traceability Plan presents the Vendor's approach to ensure all requirements are captured and met. The purpose of this task is to describe the Vendor's approach to review, analyze, and validate requirements throughout the life of the project. This task must include at a minimum:

- Approach to review and analyze all requirements during design sessions
- Approach to validate a common understanding of all requirements during conceptual architectural design sessions
- Strategy for maintaining requirement traceability in all documentation

State Responsibility

- Clarify, at the Vendor's request, Alabama's policy, regulations, and procedures
- Provide the appropriate staff that understands the intent of the requirements and State vision for conceptual and detailed design sessions
- Review and approve the Requirements Validation and Traceability Plan

Vendor Responsibility

- Validate an approach to obtain common understanding of the requirements in this RFP
- Document the process to add and remove requirements that the State approved via the change control process

- Collaborate with State on the tool that will create traceability from RFP through operations

Acceptance Criteria

- 6.2: Requirements Validation and Traceability Plan
- Addressing of the validation of requirements throughout the architectural design, detail design, and testing documentation activities
- Inclusion of requirement changes that the State approves in the change control process
- Documentation of the Requirements Validation and Traceability Plan as described in this RFP
- Documentation of the tool for tracking requirements

2.6.6.3 Task 6.3: Requirement Change Control Plan

In this task, the Vendor produces the Requirement Change Control Plan. It describes the Vendor's approach to requirement change control, including the tracking of requirements, software used to track all requirements, reporting of requirements, assignment, resolution, and escalation of requirement change control requests. This plan will be consistent with the vendor's configuration control approach.

State Responsibility

- Provide access to appropriate staff to clarify requirements
- Attend regular meetings to manage requirements change requests
- Review and approve requirement change control plan
- Provide input and clarifications to the Vendor as needed
- Collaborate with Vendor on the tool that will create traceability from RFP through operations

Vendor Responsibility

- Create Requirement Change Control Plan
- Apply changes as requested
- Collaborate with State on the tool's user access and reporting requirements

Acceptance Criteria

- 6.3: Requirement Change Control Plan
- Documentation of the Requirement Change Control Plan as described in this RFP

- Provision of a change request form for project staff to complete when a change to a requirement is identified
- Documentation of the methodology for change requests, review and approval of the requests, committee for acceptance or denial of the request, costs associated with the request, resolution, and escalation of the request

2.6.7 Activity 7: Conceptual Architectural Design

Objective

Build the basic foundation that defines the structure of the proposed solution, including the functional elements, their relationships, and the system behavior.

Description

The system conceptual architectural design activity will identify which system requirement shall be allocated to which elements of the system. As a result of the successful implementation of the system conceptual architectural design process:

- System architecture design is defined that identifies elements of the system and meets the defined requirements
- The system's functional and nonfunctional requirements are addressed
- The requirements are allocated to the elements of the system
- Internal and external interfaces of each system element are defined
- Verification between the system requirements and the system architectures performed
- The requirements allocated to the system elements and their interfaces are traceable to the Agency's requirement baseline
- Consistency and traceability between system requirements and system architecture design is maintained
- The system requirements, the system architecture design, and their relationships are base-lined and communicated to all affected parties
- Human factors and ergonomics knowledge and techniques are incorporated in the system design
- Human centered design activities are identified and performed

A top-level architecture of the system shall be established. The architecture shall identify items of hardware, software, operating systems, memory, service packs, product keys and manual operations Hardware configuration items, software configuration items, and manual operations shall be subsequently identified from these items. The system architecture and system requirements allocated to the items shall be documented.

The system architecture and the requirements for the items shall be evaluated considering the criteria listed below. The results of the evaluations shall be documented:

- Traceability to system requirements
- Consistency with system requirements
- Appropriateness of design standards and methods used
- Feasibility of the software items for filling their allocated requirements
- Feasibility of operation and maintenance

The purpose of the software conceptual architectural design process is to provide a design for the software that implements the software item and can be verified against the requirements. As a result of successful implementation of the software conceptual architectural design process:

- A software conceptual architectural design is developed and base-lined that describes the software items that will implement the software requirements
- Internal and external interfaces of each software item are defined
- Consistency and traceability are established between software requirements and software design
- The Vendor shall transform the requirements for the software into an architecture that describes its top level structure and identifies the software components. It shall ensure that all requirements for the software item are allocated to its software components and further refined to facilitate detailed design. The architecture of the software design shall be documented.
- The Vendor shall develop and document a top-level design for the interfaces external to the software item and between the software components of the software item
- The Vendor shall develop and document a top-level design for the database
- The Vendor shall develop and document preliminary versions of user documentation
- The Vendor shall define and document preliminary test requirements and the schedule for software integration

The Vendor shall evaluate the architecture of the software item and the interface and designs considering the criteria listed below. The results of the evaluations shall be documented.

- Traceability to the requirements of software item
- External consistency with the requirements of the software item
- Internal consistency between the software components
- Appropriateness of design methods and standards used
- Feasibility of detail design
- Feasibility of operation and maintenance

Conceptual design is the vital stage of the product creation that defines the success or failure of the product usability. In this activity, the Vendor performs tasks including defining the methodology for conceptual design with an approach to the design sessions, and the specifications for the conceptual design.

Deliverables

- 7.1: Conceptual Architectural Design Methodology
- 7.2: Conceptual Architectural System Design
- 7.3: Business Rules Plan
- 7.4: Workflow Plan

2.6.7.1 Task 7.1: Conceptual Architectural Design Methodology

To create the Conceptual Architectural Design Methodology in this task, the Vendor must describe the approach to design sessions and validation of the design specifications for the Eligibility Determination System. The outcomes of this task must include at a minimum:

- The methodology that will be used for sessions
- Schedule, topics, location, and participants for each design session
- The requirements that each session will address, including the strategy to maintain traceability of all requirements during each session
- The business process that will be addressed for each design session
- The strategy to ensure a final integrated design
- A style guide that describes what will be included in the conceptual design specifications that Vendor analysts will use for design layouts
- The strategy for design session results and validation of these results
- The participant training that will take place prior to the start of design session

State Responsibility

- Review and approve the Vendor's approach to design sessions
- Ensure the availability of the identified State personnel for the training sessions prior to the start of the conceptual design sessions
- Ensure the availability of the identified State personnel for the conceptual architectural design sessions
- Provide input and clarifications to the Vendor as needed
- Provide a list of participants available for each session

Vendor Responsibility

- Prepare and create a methodology that will be used for conceptual architectural design sessions

- Create a schedule, topics, location, and participants for conceptual architectural design sessions
- Develop a strategy to ensure a final integrated design
- Collaborate with State on a style guide for design layouts, staffing, schedule, and business process
- Prepare and develop a strategy for design session results and validation of these results
- Create training materials for session participants

Acceptance Criteria

- 7.1: Conceptual Architectural Design Methodology
- Compliance with all the requirements
- Completion of participant training sessions prior to the start of the conceptual architectural design sessions
- Documentation of a comprehensive design style guide
- Documentation of the schedule, topics, locations, and participants for each session

2.6.7.2 Task 7.2: Conceptual Architectural System Design

- As a result of the design sessions, the Vendor will produce a Conceptual Architectural Design incorporating the items identified in the Description above. The design shall implement the software item; be verified against the requirements and:
- The conceptual architectural design is base-lined describing the software items that will implement the software requirements
- Internal and external interfaces of each software item are defined
- Consistency and traceability are established between software requirements and software design
- The Vendor shall transform the requirements for the software into an architecture that describes its top level structure and identifies the software components. It shall ensure that all requirements for the software item are allocated to its software components and further refined to facilitate detailed design. The architecture of the software design shall be documented.
- The Vendor shall develop and document a top-level design for the interfaces external to the software item and between the software components of the software item
- The Vendor shall develop and document a top-level design for the database
- The Vendor shall develop and document preliminary versions of user documentation
- The Vendor shall define and document preliminary test requirements and the schedule for software integration

The Vendor shall evaluate the architecture of the software item and the interface and designs and the results of the evaluations shall be documented.

State Responsibility

- Review and approve the conceptual design
- Attend Joint Application Development (JAD) Sessions
- Attend final walkthroughs of the conceptual design to enhance understanding to facilitate the approval process
- Provide input and clarifications to the Vendor as needed
- Co-facilitate presentation for committee approval to move to the detail design phase of the project
- Fully participate in preliminary logical and physical data modeling sessions

Vendor Responsibility

- Facilitate JAD sessions and provide minutes daily to participants for review
- Prepare the Conceptual System Design, meeting the requirements as defined in this RFP and as defined through the JAD sessions
- Document a preliminary set of business rules and workflows
- Conduct ongoing presentation of window, screen, business rules, and other layouts and obtain State subject matter expert approval
- Conduct walkthroughs and demonstrations during the Conceptual Architectural System Design to enhance State understanding and to facilitate the approval process
- Co-facilitate presentation for State approval to move to the detail design phase of the project

Acceptance Criteria

- 7.2: Conceptual Architectural System Design
- Compliance with all the requirements
- Documentation of preliminary business rules and workflows
- Design specifications meet the agreed upon style guide
- Documentation of the completion of all sessions
- Inclusion of steps that allow for review and approval of design specifications by the State (i.e., decision point)

2.6.7.3 Task 7.3: Business Rules Plan

The Business Rules Plan includes the Vendor's approach to identification and documentation of the business rules. The purpose of this task is for the Vendor to identify the approach used to

facilitate business rules development with the State project team to analyze, identify, compare, validate, refine, and document the State's business rules related to the Eligibility Determination System during conceptual and detail design. This task must include at a minimum:

- Approach to review and analyze all business rules during design sessions
- Approach to validate a common understanding of all business rules during design sessions
- Identification of tools that will be used to diagram, present and confirm business rules (e.g., decision trees, decision tables, etc.)

State Responsibility

- Clarify, at the Vendor's request, Alabama's policy, regulations, and procedures
- Provide the appropriate staff for conceptual and detailed design sessions that understands the intent of the business rules , their relationship to policy and procedures and the State vision
- Review and approve the Business Rules Plan

Vendor Responsibility

- Identify and analyze business rules needed by Alabama's Eligibility Determination System
- Facilitate business rules sessions
- Validate an approach to obtain common understanding of the business rules
- Document the methodology to identify, diagram and present business rules to the State for approval during conceptual and detail design
- Document the process to add and remove business rules that are approved by the State during the life of the project
- Document rules set in human-readable form so that it may be submitted to an HHS repository

Acceptance Criteria

- 7.3: Business Rules Plan
- Addressing the validation of business rules throughout the conceptual design, detail design, and testing documentation activities
- Inclusion of changes to business rules that the State approves
- Documentation of the Business Rules

2.6.7.4 Task 7.4: Workflow Plan

The Workflow Plan includes the Vendor's approach to identification and documentation of the system's workflows. The purpose of this task is for the Vendor to identify the approach used to

facilitate workflow identification sessions with the State project team to analyze, identify, compare, validate, refine, and document the State's workflows related to the Eligibility Determination System during conceptual and detail design. This task must include at a minimum:

- Approach to review and analyze all workflows during design sessions
- Approach to validate a common understanding of all workflows during design sessions
- Approach to workflow and workflow rules

State Responsibility

- Clarify, at the Vendor's request, Alabama's policy, regulations, and procedures
- Provide the appropriate staff for conceptual and detailed design sessions that understands the intent of the workflows, their relationship to policy and procedures and the State vision
- Review and approve the Workflow Plan

Vendor Responsibility

- Identify all workflows of the system
- Facilitate workflow sessions
- Validate an approach to obtain common understanding of the workflows
- Document the methodology to identify, diagram and present workflows to the State for approval during conceptual and detail design
- Document the process to add and remove workflows that are approved by the State during the life of the project

Acceptance Criteria

- 7.3: Workflow Plan
- Addressing the validation of workflows throughout the conceptual design, detail design, and testing documentation activities
- Inclusion of changes to workflows that the State approves
- Documentation of the Workflow Rules

2.6.8 Activity 8: Detailed Design

Objective

Create system architecture and design documents that incorporate the functional and non-functional requirements created for the new Eligibility Determination System.

Description

The detail design activities will provide a methodology for processing, capture, storage, transformation, and dissemination of information during this phase. Documenting this information facilitates the successful design, development, and implementation of the new Eligibility Determination System. The activities associated with detail design include specifications for all system objects, such as programs, screens, interfaces, reports, templates, and forms. The Vendor's responsibilities include documentation of the detail design methodology, as well as training for all of the participants in the design sessions. Written approvals from the State validate the accuracy and completeness of the documents.

The purpose of the software detailed design activity is to provide a design for the software that implements and can be verified against requirements in the software architecture and is sufficiently detailed to permit coding and testing. As a result of successful implementation of the software detailed design process:

- A detailed design of each software component, describing the software units to be built, is developed
- External interfaces of the software unit are defined
- Consistency and traceability are established between the detailed design and the requirements and the Conceptual Architectural design

The Vendor shall develop the detailed design for each software component of the software item. The software components shall be refined into lower levels containing software units that can be coded, compiled, and tested, as appropriate. It shall ensure that all the software requirements are allocated from the software components to the software units. The detailed design shall be documented.

The Vendor shall develop and document a detailed design for the interfaces external to the software item, between the software components, and between the software units. The detailed design of the interfaces shall permit coding without the need for further information.

The Vendor shall develop and document the detailed design for the database.

The Vendor shall update user documentation as necessary.

The Vendor shall define and document test requirements and a schedule for testing software units. The test requirements shall include stressing the software unit at the limits of its requirements. Testing requirements shall also include compliance testing with the industry standards and 508 regulation.

The Vendor shall update the test requirements and the schedule for software integration.

The Vendor shall evaluate the software detailed design and test requirements considering the criteria listed below. The results of the evaluation shall be documented.

- Traceability to the requirements of the software item

- External consistency with Conceptual Architectural design
- Internal consistency between software components and software units
- Appropriateness of design methods and standards used
- Feasibility of testing
- Feasibility of operation and maintenance

Deliverables

- 8.1: Detail System Design Session Plan
- 8.2: Detail System Design Document (DSD)
- 8.3: Business Rules Design
- 8.4: Interface Design
- 8.5: Forms, Templates and Notices Detail Design
- 8.6: Alerts Detail Design
- 8.7: Reports Detail Design

2.6.8.1 Task 8.1: Detail System Design Session Plan

In the Detail System Design Session Plan task, the Vendor develops and documents the approach to design sessions and validation of the design specifications. The outcomes of this task must include at a minimum:

- The methodology that will be used for design sessions
- Schedule, topics, location, and participants for each design session
- The requirements that will be addressed for each session including a bi-directional strategy to maintain traceability of all requirements during session
- The business process that will be addressed for each design session
- The strategy to ensure a final integrated design
- A style guide that describes the design specifications that Vendor analysts will use for design layouts
- The strategy for design session results and validation of these results
- The participant training that will take place prior to the start of design

State Responsibility

- Review and approve the Vendor's approach to design sessions
- Ensure the availability of the identified State personnel for the training sessions prior to the start of the detail system design sessions
- Ensure the availability of the identified State personnel for the JAD sessions

- Provide input and clarifications to the Vendor as needed
- Provide a list of participants available for each session

Vendor Responsibility

- Prepare and create a methodology that will be used for detail system design sessions
- Create a schedule, topics, location, and participants for detail system design sessions
- Develop a strategy to ensure a final integrated design
- Collaborate with State on a style guide for design layouts, staffing, schedule, and business process
- Prepare and develop a strategy for design session results and validation of these results
- Create training materials for session participants

Acceptance Criteria

- 8.1: Detail System Design Session Plan
- Documentation of the Detail System Design Plan as described in this RFP
- Completion of participant training sessions prior to the start of design sessions
- Documentation of a comprehensive design style guide
- Documentation of the schedule, topics, locations, and participants for each session

2.6.8.2 Task 8.2: Detail System Design Document

The Vendor develops and validates the Detail System Design (DSD) document in this task. The detail system design will describe the system architecture and design at the detailed level and provides the programmers enough information to develop the Eligibility Determination System.

At a minimum, the task shall include:

- Final logical and physical data models
- Final data model with all relationships, business rules, definitions, and table domains including look up tables
- Final application infrastructure rules including rules to handle data inserts to maintain logical consistency between records
- Final detailed comprehensive data element dictionary including, at a minimum:
    - A description of all tables used in both systems
    - A description of each data element within each table
    - A unique data element number and standard data element name
    - A narrative description and definition of the data element based on the Alabama database naming standards

  - A table of values for each data element
  - The source of each data element
  - Valid values with definitions
  - Lists from the data element dictionary in multiple sort formats
- Final hierarchy chart that shows the relationship between business processes
- Final network configuration with a graphic layout of network lines showing alternative line configurations and all hardware and software detail
- Final business rules
- Final detailed system architecture
- Detailed narrative of the entire system and the flow of data through the system including diagrams
- Detailed narrative of navigation, describing inputs, features, and processes
- Flow diagram identifying all inputs, processes, and outputs
- Final screen/window layout
- Final screen narratives with screen/field mapping
- Identification of all requirements that are met with the proposed conceptual design
- Detailed program logic descriptions and edit logic including, at a minimum, the sources of all input data, each process, all editing criteria, all decision points, and associated criteria, interactions with other programs, and all outputs
- Final layouts for all inputs to include, at a minimum, input names and numbers; data element names, numbers, and sources for each input field and examples of each input
- Final layouts for all outputs to include, at a minimum, output names and numbers; data element names, numbers, and sources for each output field; and examples of each output
- Final layouts for all files to include, at a minimum, file names and numbers; data element names, numbers, number of occurrences, length and type; record names and numbers, and file maintenance data such as number of records, file space, and so forth
- Final crosswalk of new Eligibility Determination System and AMAES

State Responsibility

- Validate that the design will support the State Vision, does not require duplicate entry, and supports each program
- Validate the design contains data for reporting requirements
- Validate the design is comprehensive and contains the necessary detail for development
- Review and approve the detail system design

- Co-facilitate presentation for committee approval to move to the development phase of the project
- Provide input and clarifications to the Vendor as needed
- Fully participate in final logical and physical data modeling sessions

Vendor Responsibility

- Develop the final version of the DSD specifications
- Conduct walkthroughs and demonstrations during the detail system design to enhance State understanding and to facilitate the approval process
- Conduct ongoing presentation of screen/window, and other layouts and obtaining State approval during the detail system design development to facilitate overall State approval
- Co-facilitate presentation for committee approval to move to the development phase of the project

Acceptance Criteria

- 8.2: Detail System Design Document
- Documentation of the detail system design according to the requirements of this RFP and added through the change control process
- Documentation of a complete, comprehensive design that is ready for development
- Resolution of all outstanding issues related to the design
- Inclusion of steps that allow for review and approval of redesign specifications by the State (i.e., decision point)

2.6.8.3 Task 8.3: Business Rules Design

The Business Rules Documentation ensures all Eligibility Determination System business rules are captured and diagrammed. As mentioned earlier in the RFP, the Agency has purchased InRule and the Agency desires to leverage as much as possible. The purpose of this task is for the Vendor to facilitate JAD sessions with the State project team to analyze, identify, validate, refine, and document the State's business rules related to the Eligibility Determination System . The Vendor shall summarize the results of the business rules in narrative format. Included in this task will be the identification of decision tables, appropriate parameters, and reference tables utilized by the business rules. This task must include at a minimum:

- Identification and understanding of all business rules
- Conducting business rule sessions to obtain confirmation of rules, decision tables, reference tables, and parameters
- Documenting business rules and decision tables
- Strategy for tracking rules changes in all documentation

State Responsibility

- Clarify, at the Vendor's request, Alabama's policies, regulations, and procedures
- Provide the appropriate staff for design sessions that understands the intent of the business rules, and their relationship to policy and procedures and the State vision
- Review and approve the Business Rules Design

Vendor Responsibility

- Identify and analyze business rules required by Alabama's Eligibility Determination System
- Facilitate business rules design sessions
- Obtain common understanding of the business rules
- Diagram and present business rules to the State staff for approval during detail design
- Document the process to add and remove business rules approved by the State during the life of the project
- Develop the final business rules design

Acceptance Criteria

- 8.3: Business Rules Design
- Addressing of the validation of business rules throughout the conceptual design, detail design, and testing documentation activities
- Inclusion of changes to business rules upon State approval
- Documentation of the Business Rules Design as described in this RFP

2.6.8.4 Task 8.4: Interface Detail Design

The Interface Detail Design task consists of the Vendor's design and documentation of all system interfaces for the new Eligibility Determination System. The interface design shall include at a minimum:

- System configuration diagram showing all Eligibility Determination System interfaces
- Interface design descriptions, including:
- Interface identification, including type of interface (such as real-time data transfer, storage-and-retrieval of data, etc.) to be implemented
- Characteristics of individual data elements and data element assemblies (records, messages, files, arrays, displays, reports, etc.) that the interfacing entity(s) will provide, store, send, access, receive, etc.
- Characteristics of communication methods and protocols that the interfacing entity(s) will use for the interface

- Characteristics of processing including processing time requirements
- Other characteristics, such as physical compatibility of the interfacing entity(s) (dimensions, tolerances, loads, plug compatibility, etc.)
- Traceability to requirements addressed by the interfaces
- When required, any specifications required of other systems to ensure an effective interface with the new Eligibility Determination System

The documentation for each interface shall include:

- Detailed interface descriptions including, at a minimum, data elements, editing criteria, business rules, Agency, State, and Federal policy requirements driving the informational need for the interface, and all decision points and associated criteria, interactions with other programs, and all inputs and outputs
- Layouts for all interfaces including, at a minimum, file/database names and other identifiers, number and direction of transmittals, record names, numbers, length and type, as well as interface and file maintenance data such as, but not limited to: number of records during routine operations, required disk space, file retention, and backup (all of which can be the same layouts used in the detail system design so long as they meet all requirements for both deliverables)
- System narratives and module narratives (including structure charts), identifying the process associated with each interface, the purpose of the interface, and interrelationships between the program modules involved in the interface
- Detailed comprehensive interface description dictionary, including, at a minimum, data element names, numbers, descriptions, and definitions (including length and type); valid values with definitions; sources for all identified data elements and information transmittals
- Interface and process descriptions showing the flow of major processes and data in each of the subsystems and across subsystems
- Subsystem name and identification, subsystem data flows, etc.
- Security implications

State Responsibility

- Review and approve the Vendor's approach to Interface sessions and validation of interface design specifications
- Ensure the availability of the identified State personnel to attend and participate in the Interface design sessions
- Review and approve the final detailed Interface Design
- Provide input and clarifications to the Vendor

Vendor Responsibility

- Prepare and develop an approach to Interface sessions and validation of interface design specifications
- Prepare and develop a schedule, topics, location, and participants for DSD sessions
- Facilitate the Interface detail system design sessions
- Prepare the final detailed Interface Design as described in this RFP and as defined through the JAD sessions

Acceptance Criteria

- 8.4: Interface Detail Design
- Documentation of a final interface design that integrates in the detail system design document
- Documentation of the Interface Design task according to the requirements of this RFP and added through the change control process
- Documentation of a complete, comprehensive design that is ready for development
- Resolution of all outstanding issues related to the design

2.6.8.5 Task 8.5: Forms, Templates and Notices Detail Design

- Concurrently with detail design sessions, the Vendor will create the design specifications for all forms, templates, and notices. The design must include at a minimum:
- Each template that will be generated with pre-filled data from the Eligibility Determination System including forms and notices
- Each form and notice that will be generated by the Eligibility Determination System
- Any form or notice that will be stored in the Document Management System
- All prefilled templates must include data map sourcing

State Responsibility

- Review and approve the final detailed design specifications for forms, templates and notices
- Attend walkthroughs during the conceptual design to enhance understanding of the Eligibility Determination System and to facilitate the approval process
- Ensure the availability of the identified State personnel to attend and participate in the design sessions

Vendor Responsibility

- Collaborate with the State on the final detailed design of the layout, narratives, and data mapping source for each standardized form or notice generated from the Eligibility Determination System
- Collaborate with the State on the final detailed design of the layout, narratives, and data mapping source for each template that will be generated with prefilled data from the Eligibility Determination System
- Facilitate the Forms, Templates, and Notices detail system design sessions
- Conduct walkthroughs and demonstrations during the detail system design to enhance State understanding and to facilitate the approval process
- Develop the final detailed design of the layout and narratives for each form and notice that will be stored in the Document Management System

Acceptance Criteria

- 8.5: Forms, Templates and Notices Detail Design
- Documentation of tools related to document management and template creation
- Identification of all forms, templates, and notices
- Identification of source of all data that pre-fills templates
- Resolution of all outstanding issues related to the design
- Documentation of the Forms, Templates, and Notices design as described in this RFP and as defined through the JAD sessions

2.6.8.6 Task 8.6: Alerts Detail Design

Concurrently with detail design sessions, the Vendor will create the design specifications for all alerts. The design must include at a minimum:

- Each alert required from the Eligibility Determination System
- Description of resolution of alerts

State Responsibility

- Review and approve the final detailed design specifications for alerts
- Ensure the availability of the identified State personnel to attend and participate in the design sessions
- Attend walkthrough during the design to enhance understanding of the Eligibility Determination System and to facilitate the approval process

Vendor Responsibility

- Collaborate with the State on the final detailed design of the alerts generated by the Eligibility Determination System
- Facilitate the Forms, Templates, and Notices detail system design sessions
- Conduct walkthroughs and demonstrations during the detail system design to enhance State understanding and to facilitate the approval process
- Develop the final detailed design of the Alerts process

Acceptance Criteria

- 8.6: Alerts Detail Design
- Identification and documentation of all alerts generated by the Eligibility Determination System
- Identification of source of all data that generates the alerts
- Identification of what triggers an alert, when the alert is generated, and how the alert is resolved
- Resolution of all outstanding issues related to the design
- Documentation of Alerts Detail Design as described in this RFP and as defined through the JAD sessions

2.6.8.7 Task 8.7: Reports Detail Design

Concurrently with detail design sessions, the Vendor will create the design specifications for all reports. The design must include at a minimum:

- Each standardized report generated from the Eligibility Determination System All reports must include data map sourcing

State Responsibility

- Review and approve the final detailed design specifications for reports
- Attend walkthroughs during the design to enhance understanding of the Eligibility Determination System and to facilitate the approval process
- Ensure the availability of the identified State personnel to attend and participate in the design sessions
- Collaborate and identify which reports, if any, will be created by the State and which reports will be developed by the Vendor

Vendor Responsibility

- Collaborate with the State on the final detailed design of the layout and data mapping source for each standardized report generated from the Eligibility Determination System,
- Facilitate the Reports detail system design sessions

- Conduct walkthroughs and demonstrations during the detail system design to enhance State understanding and to facilitate the approval process
- Collaborate and identify which reports, if any, that will be created by the State and which reports will be developed by the Vendor
- Develop the final detailed design of the Reports generated by the systems

Acceptance Criteria

- 8.7: Reports Detail Design
- Documentation of tools related to reports development
- Identification of all reports generated by the Eligibility Determination System
- Identification of State or Vendor responsibility for the completion of each report
- Identification of source of all data that generates reports
- Resolution of all outstanding issues related to the design
- Documentation of the Report Detail Design as described in this RFP and as defined through the JAD sessions

2.6.9 Activity 9: Security

Objective

Create system security design documents that incorporate State and Federal regulation and publications along with the functional and non-functional requirements created for the new Eligibility Determination System

Description

The detail design activities will provide a methodology for processing, capture, storage, transformation, and dissemination of information during the development of the security design. Documenting this information facilitates the successful design, development, and implementation of the security for the new Eligibility Determination System. The activities associated with the security design include specifications for access for all roles and their related security level. Written approvals from the State validate the accuracy and completeness of the documents.

Deliverables

The following lists the deliverables for the Security activity:

- 9.1: Security Design Document
- 9.2: User Access Security Plan

2.6.9.1 Task 9.1: Security Design Document

Through the Security Design Document, the Vendor describes the approach to security design. The design must conform to the following State and Federal regulations and publications related to system security requirements and password usage:

- 45 CFR Part 95.621(f) ADP System Security Requirements and Review Process
- Standards defined in Federal Information Processing Standards (FIPS) Publications 31, 41, and 73, issued by the National Institute of Standards and Technology (NIST)
- National Institute of Standards and Technology (NIST) Special Publication 800-111 Storage Encryption Technologies for End User Devices
- National Institute of Standards and Technology (NIST) Cryptographic Module Validation List (http://csrc.nist.gov/groups/STM/cmvp/validation.html)
- FIPS PUB 112 Password Usage, Procedure
- FIPS PUB 186-3 Digital Signature Standard June 2009
- Records Usage, Duplication, Retention, Re-disclosure and Timely Destruction Procedures/Restrictions 5 U.S.C. 552a (o)(1)(F), (H) and (I)
- IRS Pub 1075
- Federal Records Retention Schedule 44 U.S.C. 3303a
- Privacy Act of 1974 at 5 U.S.C. 552a
- Computer Matching and Privacy Protection Act of 1988 (CMPPA)
- Federal Information Security Management (FISMA)
- SSA Information System Security Guidelines for Federal, State, and Local Agencies
- Child Online Privacy Protection Act
- HIPAA
- Title XIX Confidentiality Rules
- State of Alabama – Internal Memorandum 910
- State of Alabama – Standard 680-03S1_Rev B: Encryption
- State of Alabama – Standard 640-01S1: Interconnecting IT Systems
- State of Alabama – Standard 640-01S2: Secure Web Application Development
- State of Alabama – Standard 620-03S1_Rev A: Authentication - Passwords
- State of Alabama – Standard 640-02S1_Rev A: Remote Access Controls
- State of Alabama – Standard 640-02S2: Virtual Private Networks
- State of Alabama – Standard 640-02S3_Rev A: Dial-In Access/Modem Use
- State of Alabama – Standard 640-03S1: Wireless Networks

- State of Alabama – Standard 640-03S2_Rev B: Wireless Clients
- State of Alabama – Standard 640-03S3: Bluetooth Security
- State of Alabama – Standard 650-01S1: Physical Security
- State of Alabama – Standard 650-01S2: Physical Access Control
- State of Alabama – Standard 660-01S1: Application Security - Mobile Code
- State of Alabama – Guideline 660-01G1: Application Security - SQL Injection
- State of Alabama – Guideline 660-01G2: Input Validation and Data Security
- State of Alabama – Guideline 660-01G3: Database Security
- State of Alabama – Guideline 660-01G4: Error Handling
- State of Alabama – Standard 660-02S1: Laptop Security
- State of Alabama – Standard 660-02S2: PDA Security
- State of Alabama – Baseline 660-02B1_Rev A: Server Security
- State of Alabama – Baseline 660-02B2: Client Security
- State of Alabama – Guideline 660-02G2: Firewall Security
- State of Alabama – Guideline 660-02G5: Security Engineering Principles
- State of Alabama – Guideline 660-02G6: Domain Name System (DNS) Security
- State of Alabama – Standard 670-04S1_Rev A: Virus Protection
- State of Alabama – Standard 670-05S1_Rev A: Intrusion Detection and Prevention Systems
- State of Alabama – Standard 670-06S1: Log Management
- State of Alabama – Standard 670-08S1: Secure System Maintenance
- State of Alabama – Standard 680-01S1: Information Protection
- State of Alabama – Standard 680-01S2: Protecting PII
- State of Alabama – Standard 680-01S3: Removable Storage Devices
- State of Alabama – Standard 680-01S4: Media Sanitization
- State of Alabama – Standard 680-03S1_Rev B: Encryption
- State of Alabama – Policy 660-03: Application Security Testing
- State of Alabama – Standard 1210-00S1_Rev A: Online Privacy and Data Collection
- State of Alabama – Standard 1210-00S2: Universal Accessibility
- State of Alabama – Standard 1210-00S3: Online Security Statement
- State of Alabama – Standard 1210-00S4: Hypertext Linking
- OASIS Web Services Security Specification 1.1

This task shall also result in a description of the Vendor's approach to ensure the security of the Eligibility Determination System and the data throughout the project lifecycle. At a minimum, the outcomes of this task shall include information on:

- Accountability, which includes the approach to establishing and maintaining security responsibility and accountability
- Granting or restricting access to all the applications (including Web-enabled applications) and data; auditing security events, auditing security configurations, and changes, generating security reports, and monitoring the system for vulnerabilities and intrusions
- Managing authorized users for user creation, assignment of new User ID (User Identification)/password/personal identification numbers (PINs), role assignments, and activity monitoring
- Compliance including the approach to maintaining compliance with law, standards, and best practices
- Technical security shall include, at a minimum, the approach to each of the following:
- Network segmentation
- Perimeter security
- Application security and data sensitivity classification
- Protected Health Information (PHI) and Personally Identifiable Information (PII) data elements
- Intrusion management
- Monitoring and reporting
- Host hardening
- Remote access
- 128bit encryption
- Statewide active directory services for authentication
- Interface security
- Security test procedures
- Managing network security devices
- Security patch management
- Defending against viruses and mobile code
- Detailed diagrams depicting all security-related devices and subsystems and their relationships with other systems for which they provide controls
- Secure Sockets Layer (SSL) for providing communications security over the internet

State Responsibility

- Review and approve the Security Design Document
- Make available the appropriate personnel to participate in the Security Design JAD sessions
- Provide input and clarifications to the Vendor as needed
- Provide security policies and procedures

Vendor Responsibility

- Develop a security design that ensures all systems, procedures, and practices are fully secured and protected
- Review relevant State and Federal regulations and publications
- Document how State policies, procedures will be honored with the solution
- Perform compliance testing

Acceptance Criteria

- 9.1: Security Design Document
- Compliance with all the requirements
- Completion of walkthroughs and demonstrations of the Security Design to enhance State understanding and to facilitate the approval process
- Completion of Security Design Document according to the functional and non-functional requirements as defined in this RFP and as defined through the JAD sessions
- Provision of references to State and Federal policies within the design document

2.6.9.2 Task 9.2: User Access Security Plan

The Vendor defines the approach to user access security during this task in the User Access Security Plan. At a minimum, the outcomes of this task must include a description of the following:

- Types and relationships between the Eligibility Determination System security elements, e.g., users, groups, and roles
- Categorization of access into different security levels that will be defined by the State to include, at a minimum, users, groups, and roles
- Matrix of roles and privileges
- Screen/Window level security
- Level of authorization/security for specific functions by individual user including module level security for grouping of screens/pages
- Field level security including links that route to interfaces

- Restrictions on modifying or overriding system edits and audits or altering system functionality
- Types of online security checks, including security by individual, State defined role, location, files, and fields before allowing access to any files including data, software, code, resources, or any other files resident with or accessed by the State
- Types of Privacy Policy statements such as:
  - Privacy Policy for External users, e.g., Providers
  - Privacy Policy for Internal users, e.g., State
- Types of events that require logging in response to specific situations such as:
  - Start up and shut down of audit functions
  - Successful and unsuccessful logons and logoffs
  - Successful and unsuccessful attempts to access security relevant files and utilities, including user authentication information
  - Log information on read, modify, or destroy operations
  - Configuration changes made during auditing operations
  - Unsuccessful usage of user identification or authentication mechanisms
  - Changes to the time
  - Activities that modify, bypass, or negate system security controls
  - Use of privileged accounts
  - Administrator logons, changes to the administrator group, and account lockouts
  - Actions following log storage failure or exceeding threshold levels
  - Unsuccessful security attributes revocations
  - Modifications to user groups within a role
  - Key recovery requests and associated responses
  - Access denials resulting from excessive numbers of logon attempts
  - Blocking or blacklisting of user ID, terminal, or access port
  - Detected replay attacks
  - Rejections of new sessions based on limits to number of concurrent sessions
  - Use of compilers
  - System software installations

State Responsibility

- Review and approve the User Access Security Plan

- Make available the appropriate personnel to participate in the User Access Security Plan sessions
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Conduct walkthroughs and demonstrations during the User Access Security Plan development to enhance State understanding and to facilitate the approval process
- Collaborate with the State prior to completing the plan
- Prepare the User Access Security Plan, meeting the requirements as defined in this RFP and as defined through the JAD sessions

Acceptance Criteria

- 9.2: User Access Security Plan
- Compliance with all the requirements
- Documentation of the method used to collaborate with the State

2.6.10 Activity 10: Continuity of Operations

Objective

Ensure no losses or minimize losses in the event of a disruptive event.

Description

In this activity the Vendor shall provide a methodology for resumption of applications, data, hardware, communications (such as networking) and other IT infrastructure in the event of a disaster. The methodology shall also address activities for the prevention and detection of an event and the regular testing of these controls and strategies to ensure the protection of data.

Deliverables

The following lists the deliverables for the Continuity of Operations activity:

- 10.1: Disaster Recovery Plan

2.6.10.1 Task 10.1: Disaster Recovery Plan

The Vendor shall develop a Disaster Recovery Plan that provides for adequate backup and recovery for all Eligibility Determination System Operations, both manual and automated, including all functions required to meet the backup and recovery. The plan must conform to the following State and Federal guidelines and standards related to disaster recovery and backup:

- Disaster Recovery Plan in accordance to the "45 CFR 95.621(f)" Federal guideline
- Disaster Recovery Plan in accordance to the State of Alabama policy entitled, "Policy 700-00: Disaster Recovery"

- Disaster Recovery Plan in accordance to the Alabama Medicaid Memorandum No. 108, dated February 1, 2010, Subject: "Disaster/Recovery for Medicaid"
- State of Alabama – Standard 670-07S1: Backup and Recovery

In the Disaster Recovery Plan, the Vendor shall identify every resource that requires backup and to what extent backup is required. In addition, the Vendor must identify the software and data backup requirements. The plan must include at a minimum the following:

- Recovery procedures from all events ranging from a minor malfunction to a major disaster
- For offsite environments, roles and responsibilities of vendor, State and outsourcer staff
- Checkpoint/restart capabilities
- Retention and storage of backup files and software
- Hardware backup for the main processor
- Application and operating system software libraries, including related documentation
- Identification of the core business processes involved in the Eligibility Determination System
- Documentation of contingency plans
- Definition of triggers for activating contingency plans
- Plan for replacement of hardware and software

State Responsibility

- Review and approve the Disaster Recovery Plan
- Collaborate with Vendor to integrate recovery plans with Alabama Disaster Recovery
- Provide State policy and procedures and current recovery plans
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Review all Alabama State policies and procedures and current recovery plans
- Collaborate with State to create Disaster Recovery Plan
- Identify process of maintaining a current plan throughout the life of the project
- Create inventories
- Create step to step instructions on business continuity and recovery

Acceptance Criteria

- 10.1: Disaster Recovery Plan
- Compliance with all the requirements

- Documentation of the method used to collaborate with the State
- Documentation of how the plan meets Alabama State policies
- Documentation of the procedures on how the Eligibility Determination System and the Eligibility Determination System related documents are protected and how they can be recovered during development and operations
- Description of how inventory will be tracked in case recovery procedures are implemented
- Documentation of step to step procedures for business continuity and system recovery
- Documentation of the roles and responsibilities in recovery
- Documentation of how plan will be accessed in an emergency scenario and how the plan is secured

2.6.11 Activity 11: Knowledge Management

Objective

Ensure all end users from both State and private agencies receive knowledge transfer on both new procedures and the Alabama Eligibility Determination System during and after the Warranty Period. Additionally, ensure all end users receive knowledge transfer on new procedures during and after the Warranty Period. Ensure that sufficient technical staff of the State receives hands-on training and classroom training to maintain and enhance the new Eligibility Determination System during and after the Warranty Period.

The Medicaid Agency faces a special challenge due to the anticipated loss of senior, experienced workers during the implementation period of the system due to retirement. Because of this, the Agency views knowledge management as a key means to mitigate this risk. The Agency wishes to not simply have training delivered, but to have the required knowledge incorporated into its overall organizational environment, including on-going availability of innovative training materials, and the delivery such role-based items such as skill competency lists, job role descriptions, and job evaluation criteria that will help institutionalize the competencies that are being introduced to the organization. These things will be used to facilitate the Agency's expected transition to new staff and a greater level of organizational maturity in this area.

Description

This activity enables the Vendor to demonstrate an understanding of knowledge management and knowledge transfer, the Vendor's role in the training-related tasks that are needed to support the user, Data Migration and Conversion, Acceptance Testing, and Implementation Tasks of the Project. A discussion of the methods proposed to develop and deliver knowledge transfer necessary to ensure effective use and reliable operation of the new Eligibility Determination System shall be included. Material shall be used during acceptance testing to verify accuracy, comprehensiveness, understandability, and usability. The State will assist in the

identification of specific individuals to be included in the types of knowledge transfer based on the Vendor's Strategy.

Should the 'In-House' option be selected, the transfer of knowledge to Agency technical support staff will be a key Vendor responsibility as the State of Alabama intends to have the Agency staff ultimately assume responsibility for the operations and maintenance of the Eligibility Determination System. To prepare for this responsibility, the Agency technical staff shall be adequately integrated with the DDI Vendor's technical team and thoroughly trained.

The Agency expects that all training and knowledge management material will be tested to ensure it adequately fulfills its requirements.

Deliverables

- 11.1: Knowledge Management Strategy
- 11.2: Comprehensive Knowledge Management Plan
- 11.3: End User Environment(s)
- 11.4: Instructional Materials V1 and *V2
- 11.5: Online User Aids
- 11.6: Knowledge Management Progress Report
- 11.7: Knowledge Management Final Report
- 11.8 Project Staff Preparation Plan

2.6.11.1 Task 11.1: Knowledge Management Strategy

In this task, the Vendor develops the Knowledge Management Strategy, which includes a description of the Vendor's proposed approach to develop and deliver knowledge transfer to end users and IT staff.

The End User Knowledge Management Strategy shall describe the proposed methods to develop and deliver both knowledge transfer and related documentation and shall include a discussion of the Vendor's understanding of the Agency knowledge transfer requirements and high-level knowledge management strategy. The strategy must also include training the trainers and creation of power users to assist with training. The approach must include 17 to 20 training participants per class and two (2) trainers per delivery, with the 2nd trainer being from the State.

In the Technical Knowledge Management Strategy task, the Vendor defines the approach to identifying and meeting technical knowledge transfer requirements. The Technical Knowledge Management Strategy will describe the methods proposed to integrate the development team, to develop and deliver both classroom and hands-on development approaches. The strategy will address, at a minimum, the knowledge transfer requirements for technical staff for both pre- and post-implementation periods including a description of how the Vendor plans to transfer the knowledge necessary to develop, maintain, and support the applications to State IT staff.

The outcomes of this task will include, at a minimum:

- General approach to user knowledge management strategy using Vendor staff as leads Identification of timeframe in which knowledge transfer shall be accomplished
- Methods for knowledge transfer already identified by the Agency and any additional methods recommended:
    - Joint facilitated classroom knowledge transfer
    - Computer Based Training (CBT)
    - Database and environment(s) for practical, hands-on exercises
- Identification of audience/groups, which will include, as a minimum, the public, the Agency's RS workers, and its technical support staff
- Identification of knowledge transfer resources and materials including:
    - Integration of the Vendor's and State RS team trainers
    - Space, i.e., training facilities
    - Equipment
- General content and proposed courses of the knowledge transfer, which must include, at a minimum, end user's manual, and online policy documentation
- General approach to evaluating the effectiveness of knowledge transfer and improvement plan, specifically identification of threshold points which must be achieved prior to the user having access to the system
- Prerequisite IT skills required to receive knowledge transfer
- Method of technical knowledge transfer delivery
- Day-to-day hands-on technical knowledge transfer approach
- Class synopsis
- Class schedule
- Class duration
- Number of hours
- Locations

State Responsibility

- Review and approve the Knowledge Management Strategy
- Provide the number of users that require knowledge transfer
- Collaborate on strategies for resources and materials
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Develop a comprehensive strategy for ensuring all staff receive knowledge transfer
- Develop a strategy to address the knowledge transfer requirements for technical staff for both pre- and post-implementation periods
- Plan, schedule, and conduct meetings with appropriate Agency staff to collaborate on strategies for resources and materials. Training will be scheduled at the earliest opportunity to ensure the longest possible Agency notification time.
- Present roles and responsibilities for the integrated development team. Develop a strategy to address the knowledge transfer to develop, maintain, and support the applications to State IT staff such as pre-requisite skills required to receive knowledge transfer, method of training delivery, day-to-day hands-on training approach, class synopsis, class schedule, class duration, number of hours, and training location.
- Lead knowledge transfer responsibilities

Acceptance Criteria

- 11.1: Knowledge Management Strategy
- Documentation of the Knowledge Management Strategy as described in this RFP
- Provision of the proposed approach and methods for knowledge transfer inclusive of delivery of both classroom and hands-on knowledge
- Provision of enough equipment for each individual to work independently on the computer (without sharing)
- Documentation of the timeframes for knowledge transfer
- Identification of the resources and materials/equipment to be used
- Identification of the audience/group targeted for knowledge transfer
- Documentation of the approach for evaluating the effectiveness of the knowledge transfer and improvement plan
- Inclusion of regular reporting to State management regarding the skill sets of the State personnel added to the development team
- Documentation of the train-the-trainer strategy

2.6.11.2 Task 11.2: Comprehensive Knowledge Management Plan

The Vendor will create the Comprehensive Knowledge Management Plan to document the plan to train all staff, which includes both State and private agency staff. This plan must include at a minimum:

- Description of the group(s) who will receive knowledge transfer and objectives/expected results of the knowledge transfer
- Overview of the knowledge transfer curriculum

- Approach to providing knowledge transfer across the State (localized knowledge transfer, train-the-trainer, etc.) and to the pairing and integrating of selected State technical personnel with Vendor staff to facilitate the knowledge transfer during the development, system integration testing, user acceptance testing, and implementation phases of the project. Methods of training for State technical staff shall include, at a minimum, the following:
    - Job shadowing, learning tasks by first hand observation of Vendor's development staff by Agency employees
    - Supervised and independent design
    - Comprehensive knowledge transfer of the structure and architecture of the Eligibility Determination System
    - In-depth knowledge transfer on base code or the base framework that shall be used for the design and development of the new Eligibility Determination System including detailed training sessions on the proposed database design and the various database objects such as packages, procedures, functions, etc.
    - Participation in the unit, functional, end-to-end, acceptance, and regression testing
- Description of the logistics including schedule, location, duration and dates, roles and responsibilities, and identification of persons/groups who will serve as trainers
- Provision of enough equipment for each individual to work independently without sharing computers
- Written methodology for resolving System problems, including troubleshooting techniques, problem identification and tracking, and problem resolution
- Description of the logistics and the skills required for the Agency technical staff. This will include schedule, location, duration and dates, roles and responsibilities, and identification of persons/groups who will serve as trainers.
- *Environment(s) and resources including facilities, hardware, software, system documentation, and other resources to familiarize trainer with the system and post-implementation training staffing. For State technical personnel any special hardware/software access apart from full Production Environment system.
- System documentation and other resources required to familiarize the Agency technical staff with the system, produce training materials, and provide the actual knowledge transfer
- Description and format of the types of materials that will be developed for training
- Identification of threshold points which must be achieved prior to the user having access to the system

*Note: The Vendor shall provide knowledge transfer, not only on the Eligibility Determination System, but also on any additional software products required to support the Eligibility Determination System. The Vendor shall also provide knowledge transfer, as necessary, on the various hardware and network components used during operations (i.e., scanners, Online User

Aids, and policies), and the installation of the equipment. The Vendor will provide all resources necessary for knowledge transfer to include facilities and equipment.

State Responsibility

- Review and approve the Comprehensive Knowledge Management Plan
- Collaborate on knowledge transfer curriculum audience, schedule, locations, duration, dates, and knowledge transfer materials
- Ensure availability of the technical staff that have been identified and selected to participate in the classroom training, hands-on development training, and knowledge transfer
- Provide organization chart of available technical staff qualified to participate in the classroom training, hands-on development training, and knowledge transfer

Vendor Responsibility

- Create a comprehensive plan to ensure all staff are trained prior to implementation
- Plan, schedule and conduct meetings with appropriate Agency staff to collaborate on knowledge transfer curriculum audience, schedule, locations, duration, dates, and knowledge transfer materials
- Develop a knowledge transfer plan that describes the group(s) who will receive knowledge transfer, objectives or expected results of the knowledge transfer, overview of the knowledge transfer curriculum, and approach to the pairing and integrating of selected State technical personnel with Vendor staff
- Develop a hands-on knowledge transfer program and classroom training materials
- Create prototypes of the types of knowledge transfer materials that will be developed for knowledge transfer
- Provide environment(s) and resources including facilities, projectors, hardware, and software
- Provide system documentation, onsite support, and other resources to familiarize trainer with the system and post-implementation training staffing

Acceptance Criteria

- 11.2: Comprehensive Knowledge Management Plan
- Documentation of the Comprehensive Knowledge Management Plan as described in this RFP
- Inclusion of a description of the group(s) who will receive knowledge transfer
- Provision of an overview of the knowledge transfer curriculum, objectives and approach to providing knowledge transfer across the State (on-line training, localized training, train-the-trainer, etc.)

- Description of the logistics including schedule, location, duration and dates, roles and responsibilities and identify persons/groups who will serve as trainers
- Inclusion of organizational charts to show mentoring and assignment of developers that will be integrated in the Vendor's team
- Documentation of the environment(s) and resources including facilities, hardware, software, system documentation, onsite support, and other resources
- Inclusion of the description and format of the types of knowledge transfer materials that will be developed for knowledge transfer
- Identification of threshold points which must be achieved prior to the user having access to the system
- Documentation of the collaborative process and the outcome of these meetings

2.6.11.3 Task 11.3: End User Environment(s)

In this task, the Vendor will document and establish the End User Environment(s) and related knowledge transfer tools. At least one separate Training Environment shall be provided to avoid disruption of other production and implementation activities. The Training Environment(s) shall include a database that replicates the Production Environment, including copies of all software, databases, tables, and files loaded with de-identified training data.

The Training Environment(s) shall be available from the Agency network and appropriately configured to adequately emulate Web real world system use. This document shall include an inventory of all software and data stores that will be duplicated in the Training Environment(s). Note: The hardware and software required to support this task must be documented in the Comprehensive Knowledge Management Plan.

State Responsibility

- Attend training on how to maintain the End User Environment(s)
- Test and approve the End User Environment(s)
- Collaborate on all Agency network requirements for the Environment(s)
- Add the Environment(s) to the Agency network

Vendor Responsibility

- Build the End User Environment(s)
- Provide specifications required for the Agency to add the environment(s) to the Network
- Conduct walkthrough and training of the End User Environment(s)
- Add de-identified data to the environment(s) that emulates production data
- Reset training data as needed

Acceptance Criteria

- 11.3: End User Environment(s)
- Documentation of the necessary hardware and software to support the efficient ongoing operation and maintenance of the Environment(s)
- Provision of Environment(s) that mirrors the production environment
- Documentation of trainers' ability to refresh training data and environment without IT intervention

2.6.11.4 Task 11.4: Instructional Materials V1 and *V2

In this task, the Vendor delivers the materials for End User and Technical Knowledge transfer. The knowledge transfer materials shall be designed for hands-on use in a classroom, lab situation, and computer based training for future reference by users and technical staff when the Eligibility Determination System is operational. The Vendor shall be responsible for creating an instructor's manual and a student manual to be used during all classroom sessions. The Vendor shall provide an electronic version of all end user instructional material, as well as hard copies of this material for review purposes and for classroom sessions. The user manual shall include additional practical exercises in the back of the manual that the end user can complete upon return to their work location. Both manuals shall include curriculum by functionality, with sufficient examples and exercises to accomplish the stated objective of assuring that end users gain the skills necessary to perform their job functions in the new Eligibility Determination System framework.

The Vendor shall also create any other necessary instructional aides such as presentation outlines and audiovisual materials. In addition to classroom instructional materials, the Vendor shall create a CBT that provides the same level of detail as classroom instruction; however, the web-based CBT will guide the user through each function of the system and provide direct entry and practice. Additional instructional materials may also include Web Based Tutorials (WBTs), videos, and virtual classrooms. An introduction to these items shall be provided during the classroom instruction, with the intent that these materials supplement the instruction received by students upon their return to their work location.

As instructional material is developed, corresponding skill competency lists, job descriptions, and performance evaluation criteria will also be developed with an aim of integrating the system human requirements into the Agency's Human Resources infrastructure. All instructional material must be compatible with the Agency's technical environment.

The vendor must incorporate a means by which instructional materials are effectively tested to ensure they fulfill their requirements and are suitable to their intended audience.

*V2 All instructional materials shall be updated with lessons learned from instructional sessions and any system enhancements and shall be delivered to, and become the property of the Alabama Medicaid Agency upon the completion of the final rollout.

State Responsibility

- Review and approve the Instructional Materials V1 and V2
- Attend demonstration and collaborate on instructional materials
- Test CBT Materials
- Provide development resource support to assist in the development of the CBT to simplify the maintenance transition

Vendor Responsibility

- Create instructor's manual and a student user manual to be used during all classroom sessions
- Develop CBT for testing
- Demonstrate the CBT
- Train staff on the use and maintenance of the CBT
- Design instructional materials for hands-on use in a classroom, lab situation, or future reference by technical staff when the system is operational
- Update/revise instructional materials to remain current with system enhancements and as a result of lessons learned

Acceptance Criteria

- 11.4: Instructional Materials V1 and V2
- Documentation and delivery of materials listed in the RFP requirements and the Knowledge Management Strategy and Plan
- Provision of sufficient number of copies of Instructor and Student Instructional Manuals
- Materials that support end user and instructor needs written on a 7th grade level
- Delivery of an electronic version of all end user instructional material, as well as hard copies of this material for review purposes and for classroom sessions
- Delivery of necessary instructional aides such as presentation outlines and audiovisual materials and include WBTs, videos, and virtual classrooms
- Delivery of CBT for testing
- Demonstration of the CBT
- Documentation of maintenance and change procedures for the CBT
- Delivery of revised materials based on lessons learned and system enhancements *V2

2.6.11.5 Task 11.5: Online User Aids

This task requires the Vendor to produce online policy and user aids, including web page and field help, an Online User Interface Guide, and an industry standard Electronic Performance

Support System (EPSS), all functioning as an integral part of the Eligibility Determination System . The Online User Interface Guide and EPSS shall be delivered in electronic format only, but also be printable by the end user if desired.

The Vendor shall design and develop the Online User Interface Guide and EPSS to include:

- Features most used in the Eligibility Determination System
- Features hardest to understand
- Problems most significant to the end user
- Features that cause the most calls to a help desk
- Features that would potentially result in less instruction required, supplementing the instruction already received
- Simulations to help the user do a task

The EPSS shall address the usage of the system from a business process (workflow) perspective, describing how to accomplish business processes associated with the new system. It shall be easy to use by enabling users to quickly locate the particular help they need with options such as “How do I…?” and step-by-step procedures. The Online User Interface Guide shall link to the Agency Policy Manuals to allow the user to identify the policy or regulation directing or yielding an eligibility outcome.

State Responsibility

- Review and approve the Online User Aids
- Incorporate online aids in user acceptance testing scripts
- Provide input and clarifications to the Vendor as needed
- Collaborate with Vendor on content

Vendor Responsibility

- Incorporate online aids in system test scripts and end user instructional manuals
- Demonstrate Online User Aids
- Collaborate with State on content
- Revise as needed

Acceptance Criteria

- 11.5: Online User Aids
- Delivery of Online User Aids as described in this RFP
- Delivery of an electronic version of all online policy, user aids, and Electronic Performance Support System that is customized to the job task as an integral part of the Eligibility Determination System

2.6.11.6 Task 11.6: Knowledge Management Progress Report

As an outcome of this task, the Vendor will provide a Knowledge Management Progress Report on a weekly basis upon the commencement of knowledge transfer. The report shall describe the method for reporting, reviewing, and improving knowledge transfer and shall include the following at a minimum:

- Names of persons receiving knowledge transfer
- Dates of instruction
- Length of instruction
- Vendor comments regarding the instructional session
- List of persons who were scheduled for training who did not attend
- Identify knowledge transfer issues and plan to address them
- Technical staff-specific recommendations for additional knowledge transfer based on roles and responsibilities
- Detailed report that will outline the strengths and weaknesses of individual participants with regards to the skills and expertise required for the design, development, maintenance, and operations of the Eligibility Determination System

The outcomes of this task shall also include a description of the evaluation techniques to gauge the effectiveness of knowledge transfer, preferably using a standard four-level evaluation approach:

- Level 1 – Trainee Satisfaction, collected at completion of knowledge transfer
- Level 2 – Pre-Test and Post-Test skills evaluated at the point of knowledge transfer
- Level 3 – Impact on Job Performance, evaluated randomly based on on-the-job-training (OJT) evaluations when the trainee is back on the job
- Level 4 – Organizational Knowledge transfer Impact, sampled randomly, and measured throughout the life of the contract

This evaluation process may yield updates and modifications to improve the knowledge transfer approach, curriculum, and materials to ensure knowledge transfer goals are met.

State Responsibility

- Provide review of draft report format and collaborate to obtain consensus on the report format
- Review and approve weekly reports
- Co-facilitate instructional sessions
- Provide input and clarifications to the Vendor as needed to complete the reports
- Identify knowledge transfer issues and collaborate on possible modifications to resolve issues

Vendor Responsibility

- Develop a methodology for reporting, reviewing, and improving knowledge transfer
- Provide knowledge transfer and track attendance
- Evaluate knowledge transfer effectiveness using the four-level evaluation approach
- Design a method to collect information from trainees and their supervisors to evaluate the effectiveness of the technical knowledge transfer
- Identify knowledge transfer issues and collaborate on possible modifications to resolve issues
- Survey State employees following completion of knowledge transfer and deliver results to State but unseen by instructors

Acceptance Criteria

- 11.6: Knowledge Management Progress Report
- Documentation of the Knowledge Management Progress Report as described in this RFP
- Submission of weekly reports
- Revision of weekly reports when applicable
- Provision of recommendations for improvement to the knowledge management approach, curriculum, and materials and any short term solutions to improve the following week's instructional sessions

2.6.11.7 Task 11.7: Knowledge Management Final Report

The Vendor shall provide the Knowledge Management Final Report after completion of classroom training. The report shall cover aspects of the knowledge transfer activity, including at a minimum:

- Final information from the weekly classroom training reporting
- Demonstration that all knowledge transfer sessions were held, that knowledge transfer covered all areas required in the approved Comprehensive Knowledge Management Plan
- Gap analysis of the difference between the pre-training State and desired state of worker proficiency in using the system to perform their daily responsibilities
- Evaluation of the readiness of trained staff to make best use of the Eligibility Determination System
- Evaluation of impact on job performance and organizational training impact statewide analysis
- Instructional Materials *V2

State Responsibility

- Review and approve Knowledge Management Final Report
- Collaborate with trainers on the recommendations for changes to the Instructional Materials V2

Vendor Responsibility

- Evaluation of impact on job performance and organizational training impact statewide analysis
- After training sessions are complete, plan, schedule, and conduct meetings with appropriate Agency staff to collaborate on changes needed for Instructional Materials V2

Acceptance Criteria

- 11.7: Knowledge Management Final Report
- Provision of a final report based on the weekly reports submitted
- Provision of documentation on all sessions that were held
- Provision of documentation that all end users were trained
- Provision of a gap analysis of the difference between the pre-training state and desired state of worker proficiency in using the system to perform their daily responsibilities
- Provision of the final recommended changes that will be made for the Instructional Materials V2

2.6.11.8 Task 11.8: Project Staff Preparation Plan

In this task, the Vendor will create the Project Staff Preparation Plan, which describes the Vendor's approach to preparing project staff for each phase of the project. This plan must address at a minimum training prior to the start of each activity such as how users will be trained and prepared for design sessions, requirements validation, testing, Federal review, and others as needed.

State Responsibility

- Review and approve the Project Staff Preparation Plan
- Supply staff to meet with Vendor to obtain a better understanding of the State's project team's preparation needs

Vendor Responsibility

- Develop a plan to prepare project staff for each phase of the project
- Evaluate project team needs by conducting interviews, reviewing current State practices and by reviewing lessons learned on other Eligibility System projects

Acceptance Criteria

- 11.12: Project Staff Preparation Plan
- Documentation of the Project Staffing Preparation Plan as described in this RFP
- Inclusion of all knowledge transfer that will be required to start each activity including timeframes, attendee suggestions, and materials that will be used
- Identification of the methodology used to create this plan

2.6.12 Activity 12: Organizational Change Management

The purpose of Organizational Change Management is to successfully support the Agency in the transition from the current business processes and organizational structure, to the future business practices and organizational structure in a controlled way. The scope of the Organizational Change effort will be directed toward the Eligibility Determination System supported organizations – Beneficiary Services (Elderly & Disabled, Family Certification and Certification Support) and Information Technology. The Vendor will be expected to strive to integrate these change efforts with any ongoing Agency-wide Organizational Change program at the time of the development effort.

Description

The change management activity is directed at maximizing positive response to the new Eligibility Determination System by effectively managing stakeholder expectations and helping to ensure smooth adoption of the new system. It incorporates effective communication and highlights impacts on affected business processes. At a minimum, the activity limits disruption of staff and minimizes impact to client services. It shall specify which activities the State will be provided support by the Vendor as the State will take the lead on this effort.

Deliverables

- 12.1: Comprehensive Organization Change Management and Communication Plan

2.6.12.1 Task 12.1: Comprehensive Organization Change Management and Communication Plan

As a result of this task, the Comprehensive Organization Change Management and Communication Plan describes the Vendor's approach to integrating the State and Vendor RS Modernization Project staffing teams and a plan to manage the expectations of varying groups of stakeholders who have different information needs. At a minimum, the plan must include:

- The rebranding and marketing strategies for the Eligibility Determination System and prepare end users for the changes to come
- The objectives, goals, and tasks to be completed as well as the timeframe for completion
- Needs, expectations, and roles and responsibilities of stakeholders

- Identification and creation of leaders and power users throughout the end-user community and the roles these leaders will have with the business transition
- Schedule for “road show” State staff
- Communication change management methods and tools

State Responsibility

- Identify State lead for management and execution of the Organization Change Plan
- Provide direction on the organization change management strategy
- Collaborate on the identification of leaders and power users
- Collaborate on the schedule
- Review and approve the Comprehensive Organization Change Management and Communication Plan
- Schedule and recruit leaders and power users
- Execute cultural change activities as identified and agreed upon

Vendor Responsibility

- Plan, schedule and conduct meetings with appropriate Agency staff to collaborate on strategies for change management and communication with all stakeholders, which includes internal project staff
- Develop organizational change strategy and the plan for communication based on meetings and feedback from State staff

Acceptance Criteria

- 12.1: Comprehensive Organization Change Management and Communication Plan
- Documentation of the Comprehensive Organization Change Management and Communication Plan as described in this RFP
- Inclusion of organizational charts to integrate the State and Vendor team
- Creation of a map of the locations for the “road show”
- Inclusion of enough detail to implement the change management and communication plan

2.6.13 Activity 13: Data Conversion

Objective

Ensure accurate, thorough, complete conversion of data from multiple existing systems to the new Eligibility Determination System.

Description

The conversion and migration activity includes tasks for planning, coding, and executing the conversion and migration processes of data both electronic and paper. In addition, the activity includes a plan to clean up the data prior to conversion and migration. Reports will document the actual results of the execution of the conversion programs. Written approvals from the State validate the accuracy and completeness of the deliverables and the State's agreement to proceed to the final conversion and migration of data to the production environment. Table 8 lists the core systems which will be converted. Table 7 lists the sub-systems that are being maintained to store information received through interfaces electronically.

There may be data that will no longer be used by the new system. This data will be archived and saved.

Table 8: Core Systems for Conversion

#	Application Name	Database	Software Platform	# of Files and/or Tables	Description of the System
1	AMAES	VSAM, QSAM, And DB2	COBOL, CICS 1.7, Easytrieve Plus, BMS, Super BMS	500	The Alabama Medicaid Application and Eligibility System (AMAES) with its secondary related subsystems interfaces (automated and manual) is the primary and integral software component of the AMMIS RS that binds the business functions and areas together. AMAES provides support for the three primary interrelated recipient functionalities of Beneficiary Services which includes Intake, Eligibility, and Redetermination.
2	Buy-in	VSAM And DB2			The Buy-in system is currently located on the mainframe. It receives information on those individuals who may be dual eligible.

Table 9: Sub-Systems for Conversion

#	Application Name	Database	Software Platform	# of Files and/or Tables	Description of the System
1	EDB	VSAM			The Medicare Enrollment Database provides information used by the Agency to identified individuals who are dual Medicaid and Medicare eligible.
2	SVES	DB2			The State Verification Exchange System with SSA provides eligibility data

#	Application Name	Database	Software Platform	# of Files and/or Tables	Description of the System
					verification and Medicare entitlement codes.
3	SDX	DB2			The State Data Exchange provides SSI eligibility and payment data.
4	BENDEX	DB2			The Beneficiary Earnings Data Exchange provides information used by the Agency to identified individuals who are dual Medicaid and Medicare eligible.
5	ALLKids (ADI)	VSAM			
6	ALLKids Inquiry	VSAM			
7	HIPAA Exception Inquiry/Update	VSAM			
8	Date of Death Match	VSAM and DB2			This file is used to verify the date of death.
9	Pseudo SSN file	VSAM			This file maintains history of all Pseudo SSNs.
10	Case Worker	VSAM			This file maintains caseworkers.
16	SSA-8019	VSAM			This system provides eligibility data such as available employer and insurance information.

In addition, the system noted in the previous tables, the Agency maintains paper applications and other supporting documentation in case folders. This information, which will undoubtedly be necessary for supporting a rules engine, is not available electronically.

Deliverables

- 13.1: Data Conversion and Migration Strategy
- 13.2: Data Conversion and Migration Plan
- 13.3: Data Cleanup Plan
- 13.4: Data Conversion and Migration Results

2.6.13.1 Task 13.1: Data Conversion and Migration Strategy

The Data Conversion and Migration Strategy will describe the Vendor's approach to converting and migrating data to the new system and validating it. The strategy shall address all data conversion and migration tasks, regardless of whether an automated or manual method is recommended. The strategy shall also address how data, that is in paper format, which

supports rules engine processing, will or will not be migrated into the new system. The strategy addressing data in paper format must address how and when data will be entered into the system, if not converted, and safeguards to prevent terminations due to data missing at the time of automatic eligibility determination. The strategy shall cover the following:

- The general approach to use in the converting and migrating of data
- The impact of approach on users
- The data cleansing approach and strategies
- Volume considerations, such as the size of the database and the amount of data to be converted and migrated
- The time required for conversions and migrations
- The approach for handling obsolete or unused data that is not converted or migrated
- Approach to verification and validation to ensure the accuracy of converted and migrated data
- Description of the tools and processes to be used to control migration and synchronization

State Responsibility

- Collaborate on the Data Conversion and Migration Strategy
- Identify the appropriate source of the data
- Provide resources to assist in the conversion strategy
- Collaborate with Vendor on and approve the Data Conversion and Migration Strategy
- Provide final decision on automated or manual method for conversion

Vendor Responsibility

- Collaborate with State on the Data Conversion and Migration Strategy
- Assist State in identifying the appropriate source of the data
- Make recommendations on what data shall be manually converted

Acceptance Criteria

- 13.1: Data Conversion and Migration Strategy
- Documentation of the Data Conversion and Migration Strategy as described in this RFP
- Documentation of the collaborated effort to identify what needs to be converted and how it will be converted
- Documentation of the source of the data conversion
- Documentation of the risks and mitigation strategies for conversion
- Documentation of the approach to verification and validation

2.6.13.2 Task 13.2: Data Conversion and Migration Plan

In the Data Conversion and Migration Plan task, the Vendor will describe in detail the plans to execute the strategy and any changes that need to be made to the strategy. At a minimum, the outcomes of this task shall include:

- Method of determining what data will be converted and migrated manually, if any
- Method of determining the order that data is to be converted and migrated
- Data conversion and migration tasks which will identify in detail the tasks and subtasks that shall be performed in order to affect necessary file conversions and migrations
- Tasks listed in order of required occurrence and include the work schedules, timeframes, and all task dependencies
- A data mapping between the current systems and the new Eligibility Determination System, a data mapping between the data elements and the associated requirement(s), a gap analysis between Alabama existing systems and the proposed Eligibility Determination System database to determine the data that can be migrated
- Resource requirements which will identify the required personnel and equipment needed to perform each identified task and subtask
- A plan for any special knowledge transfer for conversion and migration activities

State Responsibility

- Collaborate with Vendor on and approve the Data Conversion and Migration Plan
- Provide resources to assist in the conversion plan
- Identify default values as appropriate
- Clarify, at the Vendor's request, data element definitions, record layouts, and file descriptions
- Fully participate in reviews of data mappings and converted data
- Collaborate on the Data Conversion and Migration Plan
- Provide data expertise and assistance

Vendor Responsibility

- Identify data requirements and source(s) of data for all files that must be converted and/or migrated to support all the Eligibility Determination System processes to meet all functional requirements in this RFP
- Develop mapping of converted data to new system values
- Develop conversion software and/or manual procedures
- Develop conversion programs and procedures; engage State staff in review of data mapping

- Collaborate with the State on the development of the plan
- Identify any additional fields that must display in the design specification to support the conversion efforts

Acceptance Criteria

- 13.2: Data Conversion and Migration Plan
- Documentation of the Data Conversion and Migration Plan as described in this RFP
- Documentation of the collaborated effort to identify what needs to be converted and how it will be converted
- Documentation of the risks and mitigation plan for conversion
- Documentation of any impact to design specifications
- Documentation of knowledge transfer plan
- Documentation of the resources required to execute the plan including roles and responsibilities for both State and Vendor Staff

2.6.13.3 Task 13.3: Data Cleanup Plan

The Vendor shall develop, deliver, maintain, and execute a Data Cleanup Plan to ensure all legacy data is accepted by the new Eligibility Determination System. The outcomes of this task shall include, but not be limited to, the following:

- Explanation of the strategy and methods for data cleanup
- Description of data cleanup activities
- Description of tools and procedures used to identify and report potential data issues
- Description of automated tools and procedures to automatically manipulate data
- Estimates of Vendor and State resources required to support the cleanup effort
- Data cleanup schedule
- Description of the Vendor method to substantiate error reductions
- Description of how the plan supports and adheres to the implementation plan

State Responsibility

- Review and approve the Data Cleanup Plan
- Validate the effectiveness of the data cleanup effort
- Assist in running sample queries against all data to identify data cleansing needs
- Assist in analyzing applicable applications including batch jobs to identify required changes and interfaces related to the new Eligibility Determination System application, such as client provider and fiscal systems

- Assist with data conversion and migration planning and execution
- Validate no data is lost

Vendor Responsibility

- Manage, coordinate, and participate in the data cleanup effort
- Identify and report data errors and inconsistencies that would prevent the legacy data from loading and passing validations or rules, or would cause reporting errors
- Ensure no data is lost
- Provide knowledge transfer required to enable the State personnel to interpret the reports and use any automated tools to correct the data
- Prepare and distribute data cleanup assessments to the designated State personnel
- Provide support for the operation of automated data cleanup tools

Acceptance Criteria

- 13.3: Data Cleanup Plan
- Documentation of the Data Cleanup Plan as described in this RFP
- Design, development, and delivery of automated cleanup tools
- Data cleanup process and tools that adhere to the Configuration Management Plan as defined in this RFP, including data control and recovery
- Completion of data cleanup activities according to plans prior to data conversion
- Review of data identification and data cleanup to ensure all data cleanup activities were successfully completed and the resulting data is accurate and complete
- Inclusion of status of data cleanup in the project status report and meetings and inclusion of metrics to assess the size of effort and percent complete for data cleanup

2.6.13.4 Task 13.4: Data Conversion and Migration Results

In the Data Conversion and Migration Results task, the Vendor documents the detailed results of the final conversion in production. The Vendor will include, at a minimum, information such as a description of the converted files, results of the conversion, explanation of the problem(s) that occurred (if applicable) with resolutions and a log of the final conversion.

State Responsibility

- Review and approve the Data Conversion and Migration Results
- Provide input and clarifications to the Vendor as needed
- Co-facilitate presentation for committee approval to move to the implementation phase of the project

Vendor Responsibility

- Convert data into production
- Demonstrate the successful results of the conversion
- Secure State approval of the Data Conversion and Migration Results
- Co-facilitate presentation for committee approval to move to the implementation phase of the project

Acceptance Criteria

- 13.4: Data Conversion and Migration Results
- Documentation of the Data Conversion and Migration Results as described in this RFP
- Inclusion of the detailed results of the conversion such as description of the converted files, results of the conversion, explanation of the problem(s) that occurred (if applicable) with resolutions, and a log of the final conversion
- Documentation of additional fields added to the Eligibility Determination System to label converted data
- Inclusion of steps that allow for review and approval of conversion into production by the State (i.e., decision point)

2.6.14 Activity 14: Development

Objective

Develop and document the new Eligibility Determination System to achieve the functional and non-functional requirements established in detail design.

Description

The purpose of the development activity is to produce executable software units that properly reflect the software design. As a result of successful implementation of the software construction process:

- Verification criteria are defined for all software units against their requirements
- Software units defined by the design are produced
- Consistency and traceability are established between software units and requirements and design
- Verification of the software units against the requirements and the design is accomplished
- The Vendor shall develop and document the following:
    - Each software unit and database

  - Test procedures and data for testing each software unit and database
- The Vendor shall test each software unit and database ensuring that satisfies its requirements. The test results shall be documented. The Vendor shall update the user documentation as necessary.
- The Vendor shall update the test requirements and schedule for software integration
- The Vendor shall evaluate software coding test results considering the criteria listed below. The results of the evaluations shall be documented:
  - Traceability to the requirements and the design of the software item
  - External consistency with the requirements and design of the software item
  - Internal consistency between unit requirements
  - Test coverage of units
  - Appropriateness of coding methods and standards used
- Feasibility of software integration and testing
- Feasibility of operation and maintenance

Deliverables

- 14.1: Software Development Plan
- 14.2: Weekly Construction Summary Report
- 14.3: Development Library

2.6.14.1 Task 14.1: Software Development Plan

The Vendor will create the Software Development Plan, which shall describe the Vendor's methods and process for using a systematic, documented approach for all software development activities and the environment in which this work will be completed. The Agency operates in a Microsoft technology environment and desires solutions to make maximum use of the tools that are available in this environment which will further the Agency's direction toward maximizing existing frameworks which the Agency can maintain in the future. The Agency has established a strategic partnership with Microsoft and uses Microsoft products throughout its infrastructure.

This task shall address the following elements:

- Software Development Methods – Description of the software development methods that will be used in the project, including descriptions of manual and automated tools and procedures that will be used in support of these methods
- Standards for Software Products – Description of the standards to be followed for design, code, and testing
- Coding standards for each programming language used and, at a minimum, for format, header and other comments, naming conventions, if any, use of programming language

constructs or features, complexity of code aggregates, and the approach and methodology to construction

- Quality assurance activities to ensure adherence to design and development requirements

State Responsibility

- Review and approve the Software Development Plan
- Provide input and clarifications to the Vendor
- Provide qualified staff for team integration for software development

Vendor Responsibility

- Document the software development methods
- Document the standards for software products
- Document the coding standards in compliance with the following State of Alabama Medicaid guidelines and standards such as:
    - Database Coding Guidelines
    - Development and Maintenance of Database
    - Handling Special Request
    - Handling Database Objects
    - Development and Maintenance of Web Application
    - Framework Programming Language
    - Document the quality assurance activities
    - Identify the qualifications necessary for State development staff

Acceptance Criteria

- 14.1: Software Development Plan
- Use of a proven software development methodology
- Documentation of the Software Development Plan as described in this RFP
- Documentation of how State staff will be integrated in Vendor's team for software development

2.6.14.2 Task 14.2: Weekly Construction Summary Report

In the task to create the Weekly Construction Summary Report, the Vendor will design the report to summarize the work carried out during the Construction phase. The report will contain, at a minimum:

- Introduction covering the phase objectives and outcomes

- Major products developed, delivered, or updated in the phase
- Identification of all issues that have arisen during the phase and resolutions (identification of issues/risks that may impact the next phase)
- Assurance of quality assurance/product assurance review (identification of review standards for the next phase)
- Assurance of walkthrough and transfer of knowledge
- Final report that confirms that the stage is complete

State Responsibility

- Review the Weekly Construction Summary Reports
- Approve the final Weekly Construction Summary Report and confirm that the stage is complete
- Provide input and clarifications to the Vendor as needed
- Provide qualified staff for team integration the Construction phase

Vendor Responsibility

- Conduct construction
- Provide additional support to State developers
- Prepare a Weekly Construction Summary Report to the State

Acceptance Criteria

- 14.2: Weekly Construction Summary Report
- Documentation of the Weekly Construction Summary Report according to the requirements of this RFP
- Accessibility of reports to project staff
- Provision of comprehensive reports and identify all tests performed (failures and successes)
- Documentation of solutions and provide assurance that all issues and risks that may impact the next phase have been identified and resolved
- Documentation of the major products and deliverables developed, delivered, or updated in this phase

2.6.14.3 Task 14.3: Development Library

The Vendor will create the Development Library, which consists of the program source code, code documentation, executable software, and associated artifacts to build and operate the new Eligibility Determination System. The Agency has standardized on the Team Foundation Server as the repository for software source code this shall be used as the designated source code

library. At a minimum, the outcomes of this task shall include detailed descriptions of the following:

- Tools (case tools and configuration management tools) and business processes to control software development, including check-in/check-out procedures and a responsibility audit trail
- Business processes and procedures for controlling migration of code from design through coding and testing as well as promotion into production
- Organization structure to control all system development and maintenance
- Structure and maintenance of non-production environments (e.g., system integration test, user acceptance testing, knowledge transfer, and other environments), including the timing of the promotion of changes to the non-production environments
- Software development management process including the migration of code from design to production and including diagrams and other graphical devices to communicate the processes
- Assessment of existing Agency environments and recommendations of any changes necessary to accomplish system installation, operation and maintenance

State Responsibility

- Collaborate with Vendor and approve the tools and business processes to control software development
- Collaborate with Vendor and approve the business processes and procedures for controlling migration of code
- Collaborate with Vendor and approve the organization structure to control all system development and maintenance
- Collaborate with Vendor and approve the structure and maintenance of non-production environments
- Collaborate with Vendor and approve the software development management process
- Participate in software development

Vendor Responsibility

- Create the Development Library
- Maintain a change control process to document discrepancies and their resolution and to manage changes to programs and libraries
- Support the review of the Development Library

Acceptance Criteria

- 14.3: Development Library
- Creation and management of a Development Library as described in this RFP

- Documentation of the Development Library as described in this RFP
- Documentation of the tools used to create and maintain library
- Documentation of the procedures, roles, and responsibility for the creation and maintenance of the library
- Audit trail for Development Library

2.6.15 Activity 15: System Integration

Objective

Bring together the components of development to result into one Eligibility Determination System that meets all functional and non-functional requirements.

Description

The Vendor will begin the process of bringing together component subsystems and ensuring that those subsystems function as a whole.

The purpose of the system integration activity is to integrate the system elements (including software items, hardware items, manual operations, and other systems, as necessary) to produce a complete system that will satisfy the system design in the Agency's expectations expressed in the system requirements. As a result of successful implementation of the system integration process:

- Strategies developed to integrate the system according to the priorities of the system requirements
- Criteria are developed to verify compliance with the system requirements allocated to the system elements, including the interfaces between system elements
- The system integration is verified using the defined criteria
- Regression strategies are developed and applied to retesting the system when changes are made
- Consistency and traceability are established between the system design and the integrated system elements
- An integrated system is constructed that demonstrates compliance with the system design
- An integrated system is constructed that demonstrates a complete set of usable deliverable system elements exists
- The software configuration items shall be integrated, with hardware configuration items, manual operations, and other systems as necessary, into the system. The aggregates shall be tested, as they are developed, against their requirements. The integration and test results shall be documented.

For each qualification requirement of the system, a set of tests, test cases (inputs, outputs, test criteria), and test procedures for conducting system qualification testing shall be developed and documented. The developer shall ensure that the immigration system is ready for system qualification testing.

The integrated system shall be evaluated considering the criteria listed below. The results of the evaluations shall be documented:

- Test coverage of system requirements
- Appropriateness of test methods and standards used
- Conformance to expected results
- Feasibility of system qualification testing
- Feasibility of operation and maintenance

The software integration process combines the software units and software components, producing integrated software items, consistent with the software design, that demonstrate that the functional and nonfunctional software requirements are satisfied on an equivalent or complete operational platform. As a result of successful implementation of the software integration process:

- Integration strategies developers offer are consistent with the software design and prioritized software requirements
- Verification criteria for software items are developed that ensure compliance with the software requirements allocated to the items
- Software items are verified using the defined criteria
- Software items defined by the integration strategy are produced
- The results of integration testing are recorded
- Consistency and traceability are established between software design and software items
- A regression strategy is developed and applied for re-verifying software items when a change in software units (including associative requirements, design and code) occur

The Vendor shall develop an integration plan to integrate the software units and software components into the software item. The plan shall include test requirements, procedures, data, responsibilities, and schedule. The plan shall be documented.

The Vendor shall integrate all the software units and software components and test as the aggregates are developed in accordance with the integration plan. It shall be ensured that each aggregate satisfies the requirements of the software item and that the software item is integrated at the conclusion of the integration activity. The integration and test results shall be documented.

The Vendor shall update the user documentation as necessary.

The Vendor shall develop and document for each qualification requirement of the software item a set of tests, test cases (inputs, outputs, test criteria), and test procedures for conducting software qualification testing the developer shall ensure that the integrated software item is ready for software qualification testing.

The Vendor shall evaluate the integration plan, design, code, test, test results, end-user documentation according to the criteria listed below. The results of the evaluations shall be documented:

- Traceability to system requirements
- External consistency with system requirements
- Internal consistency
- Test coverage of the requirements of the software item
- Appropriateness of test and urgent method used
- Conformance to expected results
- Feasibility of software qualification testing
- Feasibility of operation and maintenance

Deliverables

- 15.1: System Integration Strategy
- 15.2: System Integration Plan

2.6.15.1 Task 15.1: System Integration Strategy

The System Integration Strategy will describe the Vendor's approach to integrating the graphical user interface, the business layer, and the data layer integrate correctly. The strategy shall address all integration tasks, regardless of whether an automated or manual method is recommended and shall include the following:

- The general approach to be used to integrate the system in an iterative and progressive manner
- Description of how previous project activities and tasks support system integration
- Description of the integration of hardware and software
- Description of the various components to be integrated (e.g., code, COTS)
- Description of the tools and processes to be used
- Quality assurance activities to ensure adherence to design and development requirements
- Description of monitoring and tracking of modules that fail testing are sent back for debugging and rework
- Description of involvement of State resources in system integration

State Responsibility

- Collaborate on the System Integration Strategy
- Provide resources to assist during system integration
- Provide input and clarifications to the Vendor as needed
- Collaborate with Vendor on and approve the System Integration Strategy

Vendor Responsibility

- Collaborate with the State on the System Integration Strategy
- Document the System Integration Strategy
- Document controls for error handling

Acceptance Criteria

- 15.1 System Integration Strategy
- Documentation of the System Integration Strategy as described in this RFP
- Documentation of the risks and mitigation strategies for integration
- Documentation of the approach to verification and validation

2.6.15.2 Task 15.2: System Integration Plan

In the System Integration Plan task, the Vendor will describe in detail the plans to execute the strategy and any change that need to be made to the strategy. At a minimum, the outcomes of this task shall include:

- Method for determining the order of system integration
- System integration tasks which will identify in detail the tasks and subtasks that shall be performed in order to complete system integration
- Tasks listed in order of required occurrence and include the work schedules, timeframes, and all task dependencies
- Resource requirements which will identify the required personnel and equipment needed to perform each identified task and subtask

State Responsibility

- Collaborate on the System Integration Plan
- Provide resources to assist during system integration
- Provide input and clarifications to the Vendor as needed
- Collaborate with Vendor on and approve the System Integration Plan

Vendor Responsibility

- Collaborate with the State on the System Integration Plan
- Document the System Integration Plan

Acceptance Criteria

- 15.2 System Integration Plan
- Documentation of the System Integration Plan as described in this RFP
- Documentation of the risks and mitigation strategies for integration
- Documentation of the approach to verification and validation
- Successful putting together of the various components, assemblies, and subsystems of a system and having them work together to perform what the system was intended to do

2.6.16 Activity 16: System Implementation

Objective

- Provide the environments to support efficient and effective design, development, testing, knowledge transfer, operation, and maintenance of the new Eligibility Determination System. Put into production a tested and operational Eligibility Determination System with minimal disruption to applicant/beneficiaries and State personnel through the provision of Help Desk Support during Pilot, implementation, and transition Help Desk Support over six months into the warranty period to Alabama Medicaid Agency.
- Certify the system meets contract requirements and validate the statewide implementation process.

Description

The Vendor shall propose all Hardware and Software necessary to design, develop, test, operate, and maintain the new Eligibility Determination System based on an analysis of what is already available to the Agency. Any technology solution proposed must adhere to Alabama standards and the Vendor must ensure that all software applications that support the operation of the Eligibility Determination System must also:

- Support interfaces with other Agency systems
- Enable workflow, document imaging and management and e-forms

This activity begins the plan for all of the hardware, software, and licenses. The scope of activity includes identification of all of the hardware, software, and licensing necessary for all environments for design, development, testing, knowledge transfer, implementation, operation, and maintenance of the new Eligibility Determination System. Specifications of each hardware, software and licensing recommended shall be provided to ensure proper evaluation. Timeframes shall be provided for each recommendation as to when it shall be available in relation to the project plan.

The Pilot will include sample counties and/or offices that will participate in the initial implementation. The Pilot will be considered the final validation stage prior to a full statewide rollout. At completion of the Pilot, the project team will assess the results and modify implementation and support processes. Written approvals from the State validate the accuracy and completeness of the deliverables and the State's agreement to proceed to Implementation.

The Vendor shall implement all Eligibility Determination System functionality. The new Eligibility Determination System shall satisfy business and technical requirements specified in this document. All functions shall work correctly and efficiently according to the approved Implementation Plan.

Note: The Agency will purchase all proposed hardware and/or software using the competitive bid process required by the State. Due to the nature of the competitive bid process the timeframes are critical to ensure purchases are made on time. In addition, the State reserves the right to inspect and scan any equipment supplied by the Vendor for their use that will be connected to the State's network.

Deliverables

- 16.1: Hardware and Software Plan
- 16.2: Pilot Implementation Plan
- 16.3: Pilot Support and Operations Plan
- 16.4: Pilot Test and Analysis
- 16.5: Statewide Implementation Plan
- 16.6: Network & Desktop and Production Requirements
- 16.7: Final Readiness Assessment

2.6.16.1 Task 16.1: Hardware and Software Plan

The Vendor produces the Hardware and Software Plan to describe all hardware and software necessary to support an efficient and effective design, development, testing, knowledge transfer, and production environment for the new Eligibility Determination System. It will address the following:

<u>Production Hardware and Software:</u>

- An inventory of all hardware and software necessary for the new Eligibility Determination System to support the production environment
- An inventory of all hardware and software necessary for efficient ongoing operation and maintenance of the new Eligibility Determination System
- Disaster recovery provisions to include hardware and software necessary to standup DR site as the production environment

Non-production Hardware and Software:

- An inventory of all hardware and software necessary to support design, development, testing, staging and knowledge transfer environments
- An inventory of all hardware and software necessary for the efficient design, development, testing, staging, knowledge transfer, and implementation of the new Eligibility Determination System
- An inventory of any other hardware or software identified by the Vendor

State Responsibility

- Review and approve the Vendor's recommendation for Hardware and Software Plan
- Provide input and clarifications to the Vendor as needed
- Collaborate with Vendor on the necessary hardware and software and disaster recovery provisions

Vendor Responsibility

- Collaborate with State on the necessary hardware and software and disaster recovery provisions
- Collaborate with State to identify procurement, licensing and other requirements for proposed software
- Conduct ongoing reviews of the hardware and software performance and reliability to determine if hardware requires additional capacity
- Ensure that hardware and software requirements identified in the plan meet or exceed the performance standards located in Appendix R.
- Ensure that all software applications that support the operation of the new Eligibility Determination System is capable of supporting interfaces with other Agency systems and enables workflow, document imaging and management, and e-forms
- Ensure that all software applications that support the operation of the new Eligibility Determination System are supported in all environments such as production, development, staging, and test environments

Acceptance Criteria

- 16.1: Hardware and Software Plan
- Description of the methodology used for identifying the capacity for the Eligibility Determination System hardware and software and the support of the entire project, including at a minimum the file sizes, transaction volumes, computer loads, and response
- Documentation of the inventory for hardware and software and their use
- Inclusion of hardware and software specifications that meet all the requirements of this RFP

2.6.16.2 Task 16.2: Pilot Implementation Plan

The Vendor will explain their approach for Pilot operations including conversion and interfaces in the Pilot Implementation Plan. The plan shall also contain an overview, scope, system flow, systems components, staffing and description, job specifics and assumptions and constraints regarding the Pilot.

State Responsibility

- Review and approve the Vendor's Pilot Implementation Plan
- Collaborate with Vendor on lessons learned from other pilots conducted by the State
- Provide the location of the Pilot site(s)
- Collaborate with Vendor to identify metrics for readiness decision-making
- Collaborate with Vendor to identify alternatives to recover in the event of catastrophic failure of Pilot

Vendor Responsibility

- Evaluate lessons learned from other Agency projects that had a pilot prior to implementation
- Evaluate lessons learned from previous pilots performed by the State for the Eligibility Determination System, if any
- Conduct interviews of individuals that participated in the AMAES pilot
- Provide guidance on the type of site that would best fit test needed for Pilot
- Collaborate with State to identify metrics for readiness decision-making
- Collaborate with State to identify alternatives to recover in the event of catastrophic failure of Pilot

Acceptance Criteria

- 16.2: Pilot Implementation Plan
- Documentation of the Pilot Implementation Plan as described in this RFP
- Documentation of a proven methodology for the approach to Pilot operations including conversion and interfaces
- Incorporation of lessons learned from other Agency projects and any previous AMAES or Eligibility Determination System pilot experience
- Identification of the deployment strategy, deployment schedules, tasks, and activities
- Identification of the resource estimates for hardware, software, facilities, special resources, and staffing
- Identification of the staffing and description, job specifics and assumptions and constraints regarding the Pilot

- Identification of plans for installation of lines and terminals at State locations
- Identification of the potential impact of the transition to the existing infrastructure, operations, support staff, and the user community
- Documentation of risks and mitigation strategies for the Pilot

2.6.16.3 Task 16.3: Pilot Support and Operations Plan

The Vendor will create the Pilot Support and Operations Plan, which will include a description of the communication, coordination and Pilot knowledge transfer activities, assessment tools, and feedback processes for preparing for and conducting the Pilot. The document identifies operational facilities and equipment, and explains production and operating procedures, quality control procedures, and Pilot help desk procedures. The plan must also address staffing onsite to support end users.

State Responsibility

- Review and approve the Pilot Support and Operations Plan
- Identify field “leaders” to assist with Pilot onsite support
- Identify Agency project personnel to assist with Pilot onsite support and help desk support
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Define the relationships and responsibilities between the Vendor and State personnel for Eligibility Determination System operations
- Prepare the communication, coordination and Pilot knowledge transfer activities, assessment tools, and feedback processes for preparing for and conducting the Pilot
- Prepare operational facilities and equipment, production and operating procedures, quality control procedures, and Pilot help desk procedures
- Identify the onsite and Help Desk support needed based on Pilot location and number of end users that will participate in the Pilot

Acceptance Criteria

- 16.3: Pilot Support and Operations Plan
- Documentation of the Pilot Support and Operations Plan as described in this RFP and in the Pilot Implementation Plan
- Inclusion of the communication, coordination and Pilot knowledge transfer activities, assessment tools, and feedback processes for preparing for and conducting the Pilot
- Definition of the relationships and responsibilities between the Vendor and State personnel for the Eligibility Determination System operations

- Use of organization charts to integrate help desk and onsite support teams for Pilot
- Inclusion of operational facilities and equipment, production and operating procedures, quality control procedures, and Pilot help desk procedures

2.6.16.4 Task 16.4: Pilot Test and Analysis

The Pilot Test and Analysis task involves implementing the Pilot by demonstrating full system functionality in a live setting and documentation and correction of problems. After analyzing the results of the Pilot test, the State with support from the Vendor will determine the effectiveness of the system. Revisions to the system and knowledge transfer procedures will be required to tune the system for optimal performance.

State Responsibility

- Review and approve the Pilot Test and Analysis
- Participate in the Pilot implementation
- Provide input on and approve readiness of Eligibility Determination System and services to go statewide
- Review and approve the Vendor's statewide rollout strategy

Vendor Responsibility

- Conduct Pilot implementation
- Lead and Support all Pilot activity and analyze results
- Develop a statewide rollout strategy to bring all required offices onto the new system, including the satellite offices

Acceptance Criteria

- 16.4: Pilot Test and Analysis
- Documentation of the Pilot Test and Analysis as described in this RFP
- Documentation of results that demonstrate readiness for implementation or the modifications necessary for readiness
- Correction, at no cost to State, of any problems resulting from incorrect computer program code, incorrect data conversion, incorrect or inadequate documentation, or from any other failure to meet RFP specifications or performance standards
- At the completion of Pilot Test, provision of a formal report on the Pilot to the State which shall include, at a minimum, information on:
    - Readiness of the software for statewide use
    - Data conversion issues and current status
    - Knowledge transfer issues and current status
    - Site support activities
    - Help desk support activities

- Issues, concerns, and lessons learned for statewide deployment

2.6.16.5 Task 16.5: Statewide Implementation Plan

The Vendor will create the Implementation Plan, which describes the plan for implementation and how the objectives of the plan will be achieved. At a minimum, the outcomes of this task shall include:

- A description of the activities needed immediately prior to implementation such as identifying the number, type, skill level, and roles of the personnel needed, and a definition of the issue management process
- A description of the plan to communicate the plan for implementation in coordination with change management activities
- A description of the pre-implementation dry run of all associated procedures and processes
- A description of the implementation activities, including a description of each task and inclusion of the schedule including timelines and dependencies such as completion of knowledge transfer
- Checklist of all items that must be verified prior to onset of production operations
- Checklists of work to be performed and/or outputs to be produced on the first day and at the end of the first week, month, quarter, and year of operation
- A roll back plan to include in detail what will be done if the implementation does not succeed. This plan shall include risks (decision points and triggers), identification of individual decision makers and recovery actions to be taken.

State Responsibility

- Collaborate on the implementation strategy, implementation activities, and checklists
- Review and approve the Statewide Implementation Plan
- Document the criteria for requesting the use of the roll-back plan
- Provide input and clarifications to the Vendor as needed
- Provide lessons learned from previous State roll-out

Vendor Responsibility

- Develop implementation strategy
- Collaborate on checklists of items to verify prior to the onset of operations, on the first day of operations, and at the ends of the first week, month, quarter, and year of operations
- Collaborate with State on decision points and triggers that may require roll-back
- Create procedures and processes for implementation

- Discuss with the State the benefits and disadvantages of the “big bang” implementation strategy
- Evaluate lessons learned from the Alabama MMIS interChange roll-out

Acceptance Criteria

- 16.5: Statewide Implementation Plan
- Documentation of the Statewide Implementation Plan as described in this RFP
- Documentation of the activities that must occur immediately, prior to, during, and after implementation
- Documentation of a dry run of all associated procedures and processes
- Use of a proven methodology for Statewide implementation
- Identification of the lessons learned, risks, and mitigation plans for Implementation
- Inclusion of a comprehensive roll-back plan and the decision points and triggers for when this action may need to be taken
- Inclusion of comprehensive checklists and the methodology used to collaborate with State on the creation of these lists

2.6.16.6 Task 16.6: Network, Desktop and Production Requirements

The Vendor will create the Network, Desktop, and Production Requirements. It shall detail the needed enhancements to the State network and the Agency desktops to support the Eligibility Determination System RS production requirements specified in the Scope of Work section. At a minimum, the outcomes of this task shall include:

- Network Requirements Specification which will present the network configuration and identify the components needed to operate the Eligibility Determination System
- An inventory of the network, communication and data storage components necessary to support the Eligibility Determination System and its users
- All inventories that are needed, specifically what needs to be purchased, and when it needs to purchased
- An outline of how the Vendor shall ensure that all components of the architecture are compatible and can handle the specified capacity requirements

The Production Environment shall be able to support all interfaces with the Agency legacy systems and external entities and shall integrate into the existing Agency technical architecture. This document shall contain a platform architecture schematic that illustrates the technology components of the Eligibility Determination System and how State employees, providers and others accomplish access to the System. Desktop specifications will define the minimum desktop configuration required for the Eligibility Determination System and identify the Agency desktops requiring upgrades or replacement.

State Responsibility

- Review and approve the Network & Desktop and Production Requirements
- Validate and approve the inventories and purchasing plans
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Evaluate the network and desktop production needs for a statewide system which must address the needs of the Private Agencies as well (all end users)
- Provide adequate time for the State to ensure infrastructure is in place
- Review current network configuration and desktops to identify needs

Acceptance Criteria

- 16.6: Network & Desktop and Production Requirements
- Documentation of the Network & Desktop and Production as described in this RFP
- Documentation of the Network Requirements Specification
- Inclusion of an inventory to operate the Eligibility Determination System , identification of all items required for purchase, and specification of timeframe for each purchase
- Documentation of plans (including all schematics) for operational capacity management that assures architectural compatibility and support of all interfaces within the State's required architecture
- Documentation of desktop configuration and identification of variances in inventory for the Agency equipment

2.6.16.7 Task 16.7: Final Readiness Assessment

The Vendor will create the Final Readiness Assessment to assist in the determination of final implementation readiness. Approval of this assessment constitutes the Department's decision to move forward with implementation. At a minimum, the assessment must address the following:

- Status of data migration/conversion efforts including that data conversion has been completed, converted data has been validated and approved and data entry has been completed on all data that was not included in the conversion effort, but is needed by the Agency
- Disaster Recovery is documented and ready
- User acceptance testing approval including documentation of completion of UAT and Committee acceptance of results
- Knowledge transfer sign-off, documentation that technical, user and super-user knowledge transfer has been completed and approved by State

- An Assessment Summary that includes the analysis completed, risks, and mitigation associated with implementation and a recommendation for proceeding
- Pilot Testing Approval, including documentation of completion of Pilot and Committee acceptance of results
- Readiness that all locations, system users, and security profiles have been identified and set up in the Eligibility Determination System
- System Reliability and Performance operating and is ready for deployment
- Help Desk ready and staffed for deployment
- Power-users available and ready to assist at various sites for initial deployment

State Responsibility

- Review and Approve Final Readiness Assessment
- Provide documented approval that the system is fully implemented and project team concurs with the readiness for implementation
- Co-facilitate presentation for committee approval to move to the Implementation phase of the project

Vendor Responsibility

- Certify that the Eligibility Determination System , its domains, functions, data, processes, operational procedures, staffing, telecommunications, and all other associated support are in operation
- Ensure all contingency plans are in order
- Co-facilitate presentation for committee approval to move to the Implementation phase of the project

Acceptance Criteria

- 16.7: Final Readiness Assessment
- Documentation of the Final Readiness Assessment as described in this RFP
- Documentation of all status of operational inception and performance as of assessment preparation date
- Delivery and acceptance of all other required deliverables
- Resolution of all issues
- Written approvals from the State to validate the accuracy and completeness of the Final Readiness Assessment and Pilot Results
- Receipt of the State's agreement to proceed to Transition and Maintenance

2.6.17 Activity 17: Testing

Objective

Ensure the operations and hardware/software/network aspects of the new Eligibility Determination System are functioning as designed so that all functional and non-functional requirements and related system functions are complete and accurate and all requirements have been satisfied.

Description

Testing will further ensure the operations and hardware/software and telecommunications aspects of the new Eligibility Determination System are functioning as designed. The activity begins with development of the Vendor's strategy to manage the testing, followed by plans for each form of testing. Continuing deliveries of testing results reports ensures appropriate communication of the actual status of the testing. Written approvals from the State validate the accuracy and completeness of the deliverables and the State's agreement to proceed to user acceptance testing.

The Agency defines software as the code artifacts necessary to make the application function and all of the documentation necessary to produce and deliver the system. In this view, document objects (Plans, schedules, etc) are controlled for the same purposes throughout the life cycle as code objects are, even if in a different configuration management application.

The Agency regards testing in a holistic fashion throughout the entire life cycle involving both static testing (reviews, simulation, analysis) and the dynamic testing (code execution and test qualification). In each case, the Vendor and Agency has to choose and apply the appropriate level of test rigor to the tests being run. This choice will be guided by the level of risk involved. So, for example, while not every system feature will undergo every possible test, those features determined to have a high level of risk (for example, new interfaces) shall have a higher level of test rigor applied from the start of their life cycle (requirements) all the way through their User Acceptance Testing. Ideally these risk-based test activities would occur as soon in the life cycle as possible.

The Agency will expect to find the same level of professional training and experience in the Vendor's testers as it finds in its developers and other staff. The Agency expects that testing is not simply a demonstration that the system works, but in addition, the added effort necessary to discover the conditions in which it does not.

The purpose of the system qualification testing processes to ensure that the implementation of each system requirement is tested for compliance and that the system is ready for delivery. As a result of successful implementation of the systems qualification testing process:

- Criteria for evaluating compliance with system requirements are developed
- The integrated system is tested using the defined criteria
- Test results are recorded
- Readiness of the system for delivery is assured

System qualification testing shall be conducted in accordance with the qualification requirements specified for the system. It shall be ensured that the implementation of each system requirement is tested for compliance and that the system is ready for delivery. The qualification testing results shall be documented.

The system shall be evaluated considering the criteria listed below. The results of the evaluations shall be documented.

- Test coverage of system requirements
- Conformance to expected results
- Feasibility of operation and maintenance

The developer shall support audits. The results of the audits shall be documented.

Upon successful completion of the audits, when conducted, the developer shall update and prepare the deliverable software product or software installation and software acceptance support.

Software Qualification Testing Process

The purpose of the software qualification testing process is to confirm that the integrated software product meets its defined requirements. As a result of the successful implementation of the software qualification testing process:

- Criteria for the integrated software is developed that demonstrates compliance with the software requirements
- Integrated software is verified using the defined criteria
- Test results are recorded
- A regression strategy is developed and applied for retesting the integrated software when a change in software items is made

The Vendor shall conduct qualification testing in accordance with the qualification requirements for the software item. It shall be ensured that the implementation of each software requirement is tested for compliance. The qualification testing results shall be documented.

The Vendor shall update the user documentation as necessary.

The Vendor shall evaluate the design, code, test, test results, and user documentation considering the criteria listed below. The results of the evaluations shall be documented.

- Test coverage of the requirements of software item
- Conformance to expected results
- Feasibility of system integration testing, if conducted
- Feasibility of operation and maintenance

The Vendor shall support audits. The results of the audit shall be documented. If both hardware and software are under development or integration, the audits may be postponed until the system qualification testing.

Upon successful completion of the audits, when conducted, the Vendor shall update and prepare the deliverable software product for system integration, system qualification, software installation, or software acceptance support as applicable.

Deliverables

- 17.1: Master Test Plan
- 17.2: Unit and Integration Test Plan and Documentation
- 17.3: System Test Plan
- 17.4: Interface Test Plan
- 17.5: Performance, Volume and Stress Test Plan
- 17.6: Conversion and Migration Test Plan
- 17.7: System Test Scripts
- 17.8: Testing Results Weekly Report
- 17.9: Conversion and Migration Weekly Test Results Report
- 17.10: Performance Monitoring Plan & Weekly Report
- 17.11: Operational Readiness Report

2.6.17.1 Task 17.1: Master Test Plan

The Test Management Plan shall address the Vendor's test strategy and outline the plan for all levels of testing. The Vendor shall address, at a minimum, the following:

- Approach to testing including testing philosophy, test data, test standards, verification approach, approach to non-testable requirements, test phases, test techniques and methods, etc.
- Testing processes including test preparations, orientation and kickoff, test execution, test monitoring, test status meetings and reporting, closure evaluation criteria, etc.
- Approach to creating the test environments needed

For each type of testing, the Vendor shall use an appropriate mix and volume of transactions and data to represent an appropriate proportion of work for that type of testing.

In addition, the Vendor must incorporate in the test strategies and plans any Alabama procedures which provide guidance for information systems engineering related project management activities and quality assurance practices and procedures.

State Responsibility

- Review and approve the Test Management Strategy
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Develop a strategy to testing processes and creating test environments for all levels of testing including IV&V testing collaboration

Acceptance Criteria

- 17.1: Master Test Plan
- Documentation of the Test Management Strategy as described in this RFP using proven methodologies and best practice
- Documentation of the knowledge transfer materials that will be used to provide orientation and kickoff for testing
- Identification of the tools and reports that will be used to support all testing efforts

2.6.17.2 Task 17.2: Unit and Integration Test Plan and Documentation

The Vendor will develop the Unit and Integration Test Plan to ensure that the various objects that make up the application are individually tested. This plan will document the Vendor's plan to execute and document the results of unit and integration testing, which must include at a minimum:

- User Interface Unit Test: Unit test verifies the graphical user interface (GUI) is usable and works as specified. Testing addresses navigational standards, font size, page margins, and validation that all the data fields are present. It also includes testing navigational paths, such as ensuring that using the tab key takes the user to the next appropriate field.
- Business Layer Unit Test: Unit test of the business layer ensures that both valid and invalid data are processed correctly. This occurs by testing the process as expected (valid data) or by performing "prescribed error handling" (invalid data).
- Data Layer Unit Test: Unit test of the data layer will ensure that both data queries and updates are being performed correctly
- Unit Integration Test: Unit integration test validates that the graphical user interface, the business layer, and the data layer integrate correctly

State Responsibility

- Review and approve the Unit and Integration Test Plan and Documentation
- Assign developers that will participate in the unit and integration testing
- Coordinate communications links with State and the Vendor

- Attend deliverable walkthroughs to enhance understanding and facilitate the approval process
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Coordinate with State on questions and problems relating to unit testing of the Eligibility Determination System
- Document detailed steps required to conduct the unit test, including expected results
- Develop the criteria for promotion from unit to integration test
- Provide tool for tracking the test to be conducted and the results of the test
- Identify mechanisms to prove results

Acceptance Criteria

- 17.2: Unit and Integration Test Plan and Documentation
- Documentation of the Plan for Unit and Integration Testing, meeting the requirements as defined in this RFP
- Description of the concept for testing and State approval concept throughout lifecycle for unit and integration testing
- Documentation of a summary of the status of unit and integration testing, including numbers of problems identified by type of problem, numbers of problems corrected, any significant outstanding issues, the effect of any findings on the Implementation schedule, and so forth
- Documentation of corrective actions taken and retest documentation for all problems identified in the initial unit and integration tests and all regression test efforts
- Provision of assurance that unit and integration testing have been performed and that software programs function correctly

2.6.17.3 Task 17.3: System Test Plan

In the System Test Plan task, the Vendor documents an agreed upon plan to test all the business processes and business edits described in the detail system design sessions and in the requirements. System test confirms that the system performs properly, both from a functional and technical perspective. This plan will document the Vendor's plan to execute system testing. The plan must include a schedule for system test. This plan must also include:

- Format that will be used for system test scripts which includes the approach to ensure end to end test scenarios will map bi-directional to business process and requirements
- How testing of all batch processes and reports generation will be incorporated in the test scripts

- Any automated tool that will be used for testing. The Agency expects the Vendor to have the capability to regression test with automation, and will evaluate this capability in the proposal.
- Regression testing procedures to ensure previously tested scripts are retested to ensure modifications to the system have not created new defects
- Testing defect management and prioritization of defects including the role of the Consultant and State teams and also including at a minimum:
- Reporting
- Defect Classification
- Priority of the defect and how this is assigned
- When a defect is a not currently part of the agreed to requirements – the escalation process
- Closing a defect once fixed and tested

State Responsibility

- Review and approve the System Test Plan
- Attend deliverable walkthroughs to enhance understanding and facilitate the approval process
- Provide input and clarifications to the Vendor regarding tools and reports

Vendor Responsibility

- Identify functionality being tested, based on the DSD and JAD requirement sessions
- Conduct transfer of knowledge sessions to the appropriate State personnel
- Identify tools to be used and reports to be created

Acceptance Criteria

- 17.3: System Test Plan
- Documentation of the System Test Plan, meeting the requirements as defined in this RFP
- Finalization of the System Test Plan and securing of State approval prior to beginning the systems test phase
- Documentation of the plan to communicate the summary of the status of system testing, including numbers of problems identified by type of problem, numbers of problems corrected, any significant outstanding issues, the effect of any findings on the Implementation schedule, and so forth
- Documentation of the tool(s) to be used for system test

- Documentation of the roles and responsibilities for system test, defect prioritization, escalation of issues, and regression test
- Documentation of the timelines for system test

2.6.17.4 Task 17.4: Interface Test Plan

This task results in the Vendor's development of the Interface Test Plan to facilitate the successful testing of each interface in each phase of testing, to ensure validation of the data exchanges and to validate that the requirements have been implemented into the software as designed. The scope of this task includes all middleware, and testing through the middleware and through the partner systems components. In the Interface Test Plan, the Vendor shall also include how interface testing will be incorporated in the system test scripts.

State Responsibility

- Review and approve the Interface Test Plan
- Attend deliverable walkthroughs to enhance understanding and facilitate the approval process
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Coordinate with State on questions and problems relating to interface testing of the Eligibility Determination System
- Identify functionality being tested, based on the DSD and JAD requirement sessions
- Identify Agency or outside resources required
- Conduct transfer of knowledge sessions to the appropriate State personnel
- Identify tools to be used and reports to be created

Acceptance Criteria

- 17.4: Interface Test Plan
- Documentation of the Interface Test Plan, meeting the requirements as defined in this RFP
- Documentation of the timelines for interface testing
- Finalization of the Interface Test Plan and securing of State approval prior to beginning the interface test phase

2.6.17.5 Task 17.5: Performance and Stress Test Plan

In the Performance and Stress Test Plan, the Vendor documents the plan to verify that the application performs within the agreed to performance requirements when under production loading. The Vendor shall document the plan to ensure performance, volume, and stress testing will be executed and documented. The plan must include at a minimum the following:

- Any automated tools that will be used to assist the Vendor with performance and stress testing
- How the Vendor performance testing will check for the availability and capability of system resources including items such as Central Processing Unit (CPU), memory, channel, etc.
- How the Vendor will measure response times, transaction rates, and other time-sensitive requirements
- Volume testing to verify that the application performs correctly and is usable with production volumes of data
- Stress testing to verify the applications behavior under conditions that overload its resources
- The results of this test must be provided for validation and verification of the tests performed

State Responsibility

- Review and approve the Performance Stress Test Plan
- Attend deliverable walkthroughs to enhance understanding and facilitate the approval process
- Provide input on performance expectations
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Coordinate with State on questions and problems relating to performance and stress testing of the Eligibility Determination System
- Prepare test specifications and environments in which the tests will be performed
- Document description of the performance and stress being tested, based on the DSD and JAD requirement sessions
- Conduct transfer of knowledge sessions to the appropriate State personnel
- Collaborate with State on performance expectations

Acceptance Criteria

- 17.5: Performance and Stress Test Plan
- Documentation of the Performance and Stress Test Plan according to the requirements in this RFP
- Provision of a test tracking system and the plan for each test type
- Documentation of detailed steps required to conduct the performance and stress test, including expected results

- Description of the data that will be used for the various tests
- Description of how each test will be performed and the types of tests to be performed
- Description of the validation process of each test to ensure proof of the results and action taken
- Description of the corrective action steps that will be taken to ensure performance passes State expectations
- Test specifications that include at a minimum types of tests to be performed, how the tests will be performed, the roles and responsibilities of personnel performing the tests and validating the results, and tools used to perform the tests

2.6.17.6 Task 17.6: Conversion and Migration Test Plan

In this task, the Vendor develops the Conversion and Migration Test Plan to facilitate the successful testing of data migration and to ensure validation of the converted and migrated data. At a minimum, testing will address all of the following:

- Test scripts
- Test environment
- Define test data
- Schedule

State Responsibility

- Review and approve the Conversion and Migration Test Plan
- Attend deliverable walkthroughs to enhance understanding and facilitate the approval process
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Coordinate with State on questions and problems relating to conversion and migration test plan
- Create detailed scripts required to conduct the conversion and migration test, including expected results
- Identify the approach to ensure data will not be lost in conversion
- Identify the test environment to be used and take steps to ensure the test will not interfere with other testing

Acceptance Criteria

- 17.6: Conversion and Migration Test Plan

- Documentation of the Conversion and Migration Test Plan according to the requirements in this RFP
- Provision of a test tracking system and the plan for each system that is being converted
- Documentation of detailed steps, dependencies, and how each test will be performed
- Description of the validation process of each test to ensure proof of the results
- Description of the corrective action steps that will be taken to prevent data loss and data integrity issues
- Test specifications that include at a minimum types of tests to be performed, test scripts, how the tests will be performed, the roles and responsibilities of personnel performing the tests, validating the results, and tools used to perform the tests
- Documentation of the plan to provide a summary of the status of conversion and migration testing, including numbers of problems identified by type of problem, numbers of problems corrected, any significant outstanding issues, the effect of any findings on the schedule, etc.

2.6.17.7 Task 17.7: System Test Scripts

The Vendor's development of the System Test Script in this task must provide the State the comprehensive test scripts prior to commencement of system testing. The Vendor's test scripts must include at a minimum:

- A description or identifies for the requirement being tested
- Unique identifier and name for each script created
- A place to enter the tester's name for future reference
- Start and End Date field to provide documentation on when the script was initially executed and when it was completed
- Dependency Data that must be loaded in the system prior to execution of the script
- Step number and detailed instructions on what the tester must perform
- Expected results documented in detail to provide the tester with the exact results they shall view when completing each test step
- Actual results to document the results of each step and document any associated defect number (when a defect is identified)
- Place for the system version to be documented

State Responsibility

- Review and approve the System Test Scripts
- Attend deliverable walkthroughs to enhance understanding and facilitate the approval process
- Provide input on end to end business processes to be used in system test scripts

Vendor Responsibility

- Coordinate with State on questions and problems relating to the test scripts
- Coordinate with State to identify “real practices” to ensure end to end testing reflects how end users will interface with the system
- Create tests scripts based on comprehensive detail design documentation

Acceptance Criteria

- 17.7: System Test Scripts
- Documentation of the System Test Scripts according to the requirements in this RFP and defined through the JAD sessions
- Steps to ensure any design changes are reflected in the system test scripts
- Finalization of the System Test Scripts and secure State approval prior to beginning the system test phase
- Receipt of approval of changes during testing to system test scripts in advance of executing the test script
- Provision of enough detail in the scripts to allow untrained Eligibility Determination System users to perform testing
- Inclusion of interface testing in test scripts
- Provision of comprehensive scripts that test all features of the system from end to end

2.6.17.8 Task 17.8: Testing Results Weekly Report

The Vendor develops the Testing Results and Weekly Report in this task. The report will include, at a minimum:

- A status report as demonstrated by test results, identification of any remaining deficiencies, limitations, or constraints that were detected by the testing performed
- Detailed results of the tests performed and documentation on what is to be performed the following week
- Overview of the results and status of each test script
- A test log including a chronological record of the testing covered by the report including dates, times and locations of tests performed, hardware and software configurations used for each test and the dates and times of each test related activity including individuals who performed the activity

State Responsibility

- Review the Test Results and Weekly Reports
- Approve the Final Test Results and Weekly Reports

Vendor Responsibility

- Create test log including a chronological record of the testing covered by the report including dates, times, and locations of tests performed, hardware and software configurations used for each test and include individuals who performed the activity
- Perform testing and present test results in status reports

Acceptance Criteria

- 17.8: Testing Results Weekly Report
- Submission of the Final Test Results and Weekly Report to the State which includes what is agreed to in the conversion test plan and what is listed in the RFP requirements
- Documentation of weekly tests performed
- Documentation of tests to be performed the following week
- Documentation of overview of the test results and status of each test
- Inclusion of documentation on defects identified, regression tests performed, and percentage of tests that passed or failed
- Explanation of any design issues that were identified as the results of that week's test and listing of all design issues to date and the plan to correct these issues
- Explanation of any performance and/or volume issues and mitigation to correct these problems
- Inclusion of any problems with the testing environments and mitigation to correct problems

2.6.17.9 Task 17.9: Conversion and Migration Weekly Test Results Report

The Vendor will create the Conversion and Migration Test Results in this task. The report will include, at a minimum:

- A status report as demonstrated by test results, identification of any remaining deficiencies, limitations, or constraints that were detected by the testing performed and a description of its impact on conversion and migration software performance, an assessment of how any differences between the test environment and the production environment affects test results and recommended improvements in the design, operation, or testing of the conversion and migration software
- Detailed results of the conversion, migration and interface testing that will include information such as a description of the test data set, results of the testing, completion status of each test case, identification of the test case with an explanation of the problem(s) that occurred (if applicable), and the test procedure step(s) in which the problems occurred, documentation of the number of times the procedure or step was repeated in attempting to correct the problem(s) and the outcome of each attempt

- A test log including a chronological record of the testing covered by the report including dates, times, and locations of tests performed, hardware and software configurations used for each test and the dates and times of each test related activity including individuals who performed the activity

State Responsibility

- Review the Conversion and Migration Weekly Test Results Reports
- Approve the Weekly Reports
- Collaborate with Vendor to determine if conversion plan requires modifications to ensure no data loss

Vendor Responsibility

- Create test log including a chronological record of the testing covered by the report including dates, times, and locations of tests performed, hardware and software configurations used for each test and include individuals who performed the activity
- Perform testing and present test results in weekly status reports
- Collaborate with State to determine if conversion plan requires modifications to ensure no data loss

Acceptance Criteria

- 17.9: Conversion and Migration Weekly Test Results Report
- Submission of the Weekly Report to the State which includes what is agreed to in the conversion plan and what is listed in the RFP requirements
- Documentation of weekly tests performed
- Documentation of tests to be performed the following week
- Inclusion of documentation of data conversion issues, data integrity problems, and mitigation recommendations
- Inclusion of any problems with the testing environment and mitigation to correct problems
- Documentation of the detailed results of the conversion test such as description of the converted files, results of the conversion, explanation of the problem(s) that occurred (if applicable) with resolutions, and a log of data that was converted

2.6.17.10 Task 17.10: Performance Monitoring Plan and Weekly Report

In this task, the Vendor creates the Performance Monitoring Plan, which encompasses planning for, managing, and executing the monitoring, trouble-shooting, and fine-tuning of system performance prior to full implementation of the Eligibility Determination System. The Vendor shall conduct performance monitoring and testing throughout system test, user acceptance, and Pilot period to ensure that the Eligibility Determination System performance requirements are met and that there is satisfactory user performance and interactive response time.

The plan's methodology for monitoring performance or achieving improved efficiency within the Eligibility Determination System shall include at a minimum:

- Performance monitoring tools, their purpose, and use
- Areas to be monitored for performance, at a minimum, this shall include network load, response time, query retrieval response, stress load response, database normalization impact, and screen navigation response time.

All performance monitoring results and summaries shall be made available for review on a weekly basis. At a minimum, the weekly report shall include:

- Performance summaries
- Identification of problem performance areas
- Activities underway to correct performance issues
- Performance issues resolved in the last reporting period (final report)

State Responsibility

- Review and approve the Performance Monitoring Plan
- Review and approve the Weekly Reports

Vendor Responsibility

- Prepare and submit the Final Performance Monitoring Plan and Weekly Reports to the State
- Make recommendations for changes to hardware or software requirements to improve performance
- Perform tests
- Make the necessary changes to ensure performance standards are met

Acceptance Criteria

- 17.10: Performance Monitoring Plan & Weekly Reports
- Documentation of a Performance Monitoring Plan and Weekly Reports to the State
- Documentation of details of performance monitoring tools and areas to be monitored for performance
- Documentation of performance monitoring weekly results and summaries including performance summaries, identification of problem performance areas, and activities underway to correct performance areas
- Documentation of performance issues resolved in the last reporting period
- Documentation of weekly tests performed
- Documentation of tests to be performed the following week

2.6.17.11 Task 17.11: Operational Readiness Report

The Vendor will produce the Operational Readiness Report, which certifies that the Eligibility Determination System , its domains, functions, data, processes, operational procedures, staffing, telecommunications, and all other associated support are in place and ready for operation. This readiness report will identify if the system is ready for user acceptance testing (UAT).

State Responsibility

- Evaluate Operational Readiness Report to determine Vendor readiness for UAT
- Provide documented approval that the system is ready for UAT
- Review and Approve Operational Readiness Report
- Co-facilitate presentation for committee approval to move to the UAT phase of the project

Vendor Responsibility

- Demonstrates readiness for UAT
- Validates that all system test is complete
- Co-facilitate presentation for committee approval to move to the UAT phase of the project

Acceptance Criteria

- 17.11: Operational Readiness Report
- Documentation that the Eligibility Determination System , its domains, functions, data, processes, operational procedures, staffing, telecommunications, hardware, network, and all other associated support are in place and ready for operation
- Validation that user test environment is operational
- Validation that user testing stations are operational
- Resolution of all issues identified as design issues
- Resolution of all defects that prevent completion of test scripts
- Inclusion of steps that allow for review and approval of UAT readiness by the State (i.e., decision point)

2.6.18 Activity 18: Quality Assurance

Objective

The purpose of the software quality assurance process is to provide assurance that work products and processes comply with predefined provisions and plans.

Description

As a result of the successful implementation of the software quality assurance process:

- A strategy for conducting quality assurance is developed
- Evidence of software quality assurance is produced and maintained
- Problems and/or non-conformance with requirements are identified and recorded
- Adherence of products, processes and activities to the applicable standards, procedures and requirements are verified

Software quality assurance process implementation consists of the following tasks:

- The quality assurance process suitable to the project shall be established
- The objectives of the quality assurance process shall be to assure that the software products and processes employed for providing those software products comply with their established requirements and adhere to their established plans
- The quality assurance process shall be coordinated with the related software verification, software validation, software review, and software audit processes to ensure the standards for each are implemented. Scheduled and ongoing assurance activities and tasks shall be executed and when problems or non-conformance is with contract requirements are detected and they shall be documented and serve as input to the problem resolution process. Records of these activities and tasks, their execution, problems, and problem resolutions shall be prepared and maintained. Records of quality assurance activities and tasks shall be made available to the Agency as specified in the contract.
- The Vendor shall ensure that the Agency project management staff responsible for assuring compliance with contract requirements have the freedom, resources, and authority to permit objective evaluations and to initiate, effect, resolve, and verify problem resolutions.

Product assurance will be obtained through the following tasks:

- All plans required by the contract are documented, comply with the contract, are mutually consistent, and are being executed as required
- Software products and related documentation comply with the contract and adhere to the plans
- Deliveries of software products have fully satisfy their contractual requirements and are acceptable to the Agency

Process Assurance consists of the following tasks.

- Lifecycle processes (supply, development, operations, maintenance, and support processes, including quality assurance) employed for the project comply with the contract and adhere to the plans

- Internal software engineering practices, development environment, test environment, and libraries comply with the contract
- Applicable prime-contract requirements are passed down to the subcontractor, if used and that and that the subcontractor software products satisfy prime-contract requirements
- The Agency and other parties are provided the required support and cooperation in accordance with the contract, negotiations, and plans
- Software product and process measurements are in accordance with established standards and procedures
- Staff assigned has the skill and knowledge needed to meet the requirements of the project and receive any necessary knowledge transfer

The Vendor shall provide a plan to monitor Quality Assurance throughout the life of the project. The Vendor will ensure that this plan will assess the Vendor's internal organization standards and methodologies. Although the IV&V Vendor will be performing similar tasks, it is the Agency's desire that strong internal controls will assure that products, services, and implementations of lifecycle processes meet enterprise quality goals and achieve Agency satisfaction.

Quality Assurance will further ensure the operations and hardware/software and telecommunications aspects of the new Eligibility Determination System are functioning as designed. The activity begins with development of the Vendor's strategy to manage quality assurance, followed by a plan for conducting Quality Assurance throughout the system lifecycle. Quality Assurance results reports ensure appropriate communication of the actual status of level of the Vendor's quality and shall be based on verification and validation tasks, interviews, audits, predictive analysis, project reviews, staff reviews, etc.

Deliverables

- 18.1: Quality Assurance Plan
- 18.2 Quality Assurance Reviews

2.6.18.1 Task 18.1 Quality Assurance Plan

The Vendor will create the Quality Assurance Plan for the purposes of describing its approach to maintain high-quality standards, achieve Agency satisfaction, and ensure internal quality controls of product and processes throughout the life of the project. It will include topics such as:

- Quality standards, methodologies, procedures, and tools to be monitored
- Issue documentation, reporting and resolution
- Measurement of Agency satisfaction
- Documentation and publication with the Agency of internal review or audit findings
- Staff assigned to implementing the Quality Assurance Plan and the extent of the staff's autonomy

- Provide access to IV&V Vendor for the Agency to observe Vendor process and delivery activities in conjunction with the Vendor's Quality Assurance staff
- Provide access to IV&V Vendor for the Agency to observe Vendor process and delivery activities independently of the Vendor's Quality Assurance staff

A plan for conducting quality assurance process activities and tasks shall be developed, documented, implemented, and maintained for the life of the contract. The plan shall include the following:

- Quality standards, methodologies, procedures, and tools for performing the quality assurance activities
- Procedures for contract review and coordination thereof
- Procedures for identification, collection, filing, maintenance, and disposition of quality records
- Resources, schedule, and responsibilities for conducting quality assurance activities
- Selected activities and tasks from supporting processes, such as software verification, software validation, software review, software audit, and software problem resolution

State Responsibility

- Provide input and clarification to the Vendor as needed
- Review and approve Quality Assurance Plan

Vendor Responsibility

- Develop an approach and collaborate with State to create the Quality Assurance Plan
- Communicate to Vendor staff Quality Assurance standards and the organization's approach to monitoring

Acceptance Criteria

- 18.1: Quality Assurance Plan
- Documentation of the Quality Assurance Plan as described in this RFP
- Inclusion of methodology for developing the plan
- Use of industry standards (e.g., ISO/IEC, IEEE)
- Inclusion of enough detail to implement the Quality Assurance Plan

2.6.18.2 Task 18.2: Quality Assurance Reviews

During this task the Vendor conducts, documents and communicates Quality Assurance Reviews as outlined in the plan. All areas that are identified in the Quality Assurance Plan must be addressed at each review and an explanation as to why an area is 'not applicable' at the time of review must be provided. Quality Assurance Reviews must at a minimum:

- Ongoing but formally reported monthly, at each milestone, and at the special request of the Agency
- Include lessons learned at each milestone review
- Specific in regards to activities monitored, reviewed, audited, etc.
- Supported by factual basis
- Contain corrective actions to be taken when applicable
- Contain assessment of Agency satisfaction
- Reflect implementation of the Quality Assurance Plan

State Responsibility

- Review and approve the Quality Assurance Reviews
- Attend Quality Assurance presentations upon request
- Participate in assessment of Agency satisfaction

Vendor Responsibility

- Conduct Quality Assurance reviews
- Prepare reports on Quality Assurance Reviews
- Provide access to IV&V Vendor for the Agency to observe Vendor process and delivery activities

Acceptance Criteria

- 18.2: Quality Assurance Reviews
- Transparency to the review process
- Adherence of products, processes and activities to the applicable standards, procedures and requirements
- Supports the Quality Assurance Plan
- Predictive rather than reactive to project quality issues
- Agency satisfaction level is higher than average

2.6.19 Activity 19: Software Verification

Objective

The purpose of the software verification process is to confirm that each software work product and/or service of the process or project properly reflects the specified requirements. Verification activities can occur in the Quality Assurance or testing project processes, and in the Agency's Independent Verification and Validation efforts. They are included here to elaborate the nature and importance of verification activities.

Description

As a result of successful implementation of the software verification process:

- Software verification strategies developed and implemented
- Criteria for verification of all required software work products is identified
- Required verification activities are performed
- Defects are identified and recorded
- Results of the verification activities are made available to the Agency and other involved parties

A determination shall be made if the project warns of verification effort and the degree of organizational independence of that effort needed. The project requirements shall be analyzed for criticality. Criticality may be gauged in terms of:

- The potential of an undetected error in the system or software requirement for causing death or personal injury, mission failure, or financial or catastrophic equipment loss or damage
- Maturity of a risk associated with the software technology being used
- Availability of funds and resources

Based on the scope, magnitude, complexity, and criticality analysis above, target lifecycle activities and products requiring verification shall be determined. Verification activities and tasks, including associated methods, techniques and tools for performing the tasks, shall be selected for the target lifecycle activities and software products.

Based on the verification tasks determined, a verification plan shall be developed and documented. The plan for verification activities may be incorporated into the Quality Assurance or testing plans, or may stand alone. The plan shall address the lifecycle activities and software product subject to verification, the required verification tasks for each lifecycle activity in software product, and related resources, responsibilities, and schedule. The plan shall address procedures for forwarding verification reports to the Agency and other involved organizations.

The plan for verification activities shall be implemented. Problems and non-conformance is detected by the verification effort shall be entered into the software problem resolution process. All problems and non-conformances shall be resolved. Results of the verification activity shall be made available to the Agency and other involved organizations.

Verification activities consist of the following tasks:

Requirement verification shall be verified considering the criteria listed below:

- The system requirements are consistent, feasible, and testable
- The system requirements of inappropriately allocated to hardware items, software items, and manual operations according to the design criteria

- The software requirements are consistent, feasible, testable, and accurately reflect system requirements
- The software requirements related to safety, security, and criticality are correct as shown by suitably rigorous methods

The Design verification shall be verified considering the criteria listed below:

- The design is correct and consistent with and traceable to requirements. The design implements proper sequence of events, inputs, outputs, interfaces, logic flow, allocation of timing and sizing of budgets, and error definition, isolation, and recovery.
- Selected design can be derived from requirements
- The design implements safety, security, and other critical requirements correctly as shown by suitably rigorous methods

The Code verification shall be verified considering the criteria listed below:

- The code is traceable to design and requirements, testable, correct, and compliant with requirements and coding standards
- The code implements proper event sequence, consistent interfaces, correct data and control flow, completeness, appropriate allocation of timing and sizing budgets, and error definition, isolation, and recovery
- Selected code can be derived from design or requirements
- The code implements safety, security, and other critical elements correctly as shown by suitably rigorous methods

The Integration verification shall be verified considering the criteria listed below:

- The software components and units of each software item have been completely and correctly integrated into the software item
- The hardware items, software items, and manual operations of the system have been completely and correctly integrated into the system
- The integration tasks have been performed in accordance with and integration plan
- The Documentation shall be verified considering the criteria listed below:
- The documentation is adequate, complete, and consistent
- Documentation preparation is timely
- Configuration management of documents follows specified procedures

Deliverables

No deliverable is required but the verification activity shall be mapped and incorporated into Quality Assurance, Testing, or other project deliverables.

2.6.20 Activity 20: Software Validation

Objective

The purpose of the software validation process is to confirm that the requirements for specific intended use of the software work product are fulfilled. Validation activities can occur in the Quality Assurance project processes, and in the Agency's Independent Verification and Validation efforts. They are included here to elaborate the nature and importance of validation activities.

Description

As a result of successful implementation of the software validation process:

- Validation strategies developed and implemented
- Criteria for validation of all work products are identified
- Required validation activities are performed
- Problems are identified and recorded
- Evidence is provided that the software products has developed are suitable for their intended use
- Results of validation activities are made available to the Agency and other involved parties
- Software validation process implementation consists of the following tasks:
    - A determination shall be made if a task or group of tasks warrants a validation effort, and the degree of organizational independence which that effort will require
    - If the task warrants a validation effort, a validation process shall be established to validate the system or software product. Validation tasks defined below, including associated methods, techniques, and tools for performing tasks shall be selected. If the project warrants an independent effort, a qualified organization responsible for conducting the effort shall be selected. The Agency shall be assured of the independence and authority to perform the validation tasks. A validation plan shall be developed and documented. Validation activities may be incorporate into the Quality Assurance plan or may stand alone. The plan shall include, but is not limited to, the following:
        - Items subject to validation
        - Validation tasks to be performed
        - Resources, responsibilities, and schedule for validation
        - Procedures for forwarding validation reports to the Agency and other parties
        - Validation activities shall be implemented. Problems and non-conformances detected by the validation effort shall be entered into the problem resolution process. All problems and non-conformance shall be resolved. Results of the

validation activity shall be made available to the Agency and other involved organizations.

- The validation activity (which could be testing, analysis, modeling, simulation, or other means) consists of the following tasks:
- Prepare selected test requirements test cases and test specifications for analyzing test results
- Ensure that these test requirements, test cases, and test specifications reflect the particular requirements for the specific intended use
- Conduct selected tests, including:
- Testing with stress, boundary, and singular input
- Testing the software products for its ability to isolate and minimize the effect of errors, that is, graceful degradation. Upon failure, request for operator assistance upon stress, boundary, and singular condition.
- Testing those representative users can successfully achieve their intended tasks using the software product
- Validate that the software product satisfies its intended use, and test the software product as appropriate in selected areas of the target environment.

Deliverables

No deliverable is required but the validation activity may be mapped and incorporated into Quality Assurance deliverables.

2.6.21 Activity 21: Software Reviews

Objectives

The purpose of the software review process is to maintain a common understanding with the stakeholders of the progress against objectives of the agreement and what shall be done to help ensure the development of a product that satisfies the stakeholders. Software reviews are at both project management and technical levels and are held throughout the life of the project.

Description

As a result of the successful implementation of the software review process:

- Management and technical reviews are held based on the needs of the project
- The status and products of activity of the process are evaluated to review activities
- Review results are made known to all affected parties
- Action items resulting from reviews are tracked closure
- Risks and problems are identified and recorded
- Software review process implementation consists of the following tasks:

- Periodic review shall be held at predetermined milestones as specified in the project plan. Stakeholder shall determine the need for any ad hoc reviews in which parties may participate.
- All resources that are required to conduct the reviews shall be provided. These resources include personnel, location, facilities, hardware, software, and tools.
- The parties that participate in a review shall agree on the following items of each review; meeting agenda, software products (result of an activity), and problems to be reviewed; scope and procedures; and entry and exit criteria for the review
- Problems detected during the reviews shall be recorded and entered into the problem resolution process as required
- The review results shall be documented and distributed. This communication includes adequacy of review (for example, approval, disapproval, or contingent approval; of the review results.
- Participating parties shall agree on the outcome of the review, and any action item including responsibilities and closure criteria
- Project management reviews consist of the following tasks:
- Project status shall be evaluated relative to the applicable project plans, schedules, standards, and guidelines. The outcome of the review shall be considered by appropriate management and shall provide the following:
    - Making activities progress according to plan, based on an evaluation of the activity or software project status
    - Maintaining global control of the project to adequate allocation of resources
    - Changing project direction or determining the need for alternate planning
    - Evaluating and managing the risk issues that may jeopardize the success of the project
- Technical reviews consist of the following tasks and shall be held to evaluate software products or services under consideration and provide evidence that:
    - They are complete
    - They comply with their standards and specifications
    - Changes to them are properly implemented, and affect only those areas identified by the configuration management processes
    - They are adhering to applicable schedules
    - They are ready for the next planned activity
    - The development, operation, or maintenance is being conducted according to the plans, schedules, standards, and guidelines of the project

Deliverables

The Software Review Plan shall either be incorporated into the Quality Assurance Plan, or be a standalone plan.

2.6.22 Activity 22: Software Problem Resolution Process

Objectives

The purpose of the software problem resolution process is to ensure that all discovered problems are identified, analyzed, managed, and there is a controlled resolution.

Description

As a result of his of successful implementation of the software problem resolution process:

- A problem management strategy is developed
- Problems are recorded, identified and classified
- Problems are analyzed and assessed to identify acceptable solutions
- Problem resolution is implemented
- Problems are tracked to closure
- The status of all problems reported is known

Deliverables

- 22.1: Software Resolution Plan

2.6.22.1 Task 22.1: Software Resolution Plan

A Software Resolution Plan shall be established for handling all problems (including non-conformance) is a ticket in the software products and activities. The process shall comply with the following requirements:

- The process shall be closed-loop, ensuring that all detected problems are reported and entered into the problem resolution process
- Action is initiated on detected problems
- Relevant parties are advised of the existence of the problem(s) as appropriate
- Causes are identified; analyzed, and, where possible, eliminated; resolution and disposition are achieved
- Status is tracked and reported
- Records of the problems are maintained

The process shall contain a scheme for characterizing and prioritizing the problems. Each problem shall be classified by the category and priority to facilitate trend analysis and problem resolution. Analysis shall be performed to detect trends in the problems reported. Problem

resolutions and dispositions shall be evaluated; to evaluate the problems that have been resolved, adverse trends have been reversed, and changes have been correctly implemented in the appropriate software products and activities; and to determine whether additional problems have been introduced.

When problems (including non-conformance is) have been detected in a software product or activity, a problem report shall be prepared to describe each problem detected. Documenting the following:

- Detection of the problem,
- Investigation
- Analysis
- Resolution of the problem and its cause
- Trend detection across problems.

State Responsibility

- Review and approve Software Resolution Plan
- Participate in the resolution process when applicable

Vendor Responsibility

- Prepare the Software Resolution Plan
- Implement the Software Resolution Plan
- Participate in the resolution process when applicable

Acceptance Criteria

- 22.1 Software Resolution Plan
- Documentation of process to detect, document, and track software
- Criteria for resolution to include identification of individuals responsible

2.6.23 Activity 23: User Acceptance Testing

Objectives

Implement a vigorous user acceptance testing (UAT) process in order to put into production a tested and operational Eligibility Determination System with minimal disruption to applicant/beneficiaries and State personnel. The Agency regards UAT to be an incremental process that may occur throughout the lifecycle, culminating with a system-level acceptance.

Description

While the Agency will take the lead on conducting UAT, the Vendor is responsible for participating and supporting the State users in acceptance testing of the entire Eligibility

Determination System. UAT enables the State to ensure that the new Eligibility Determination System meets the functional, technical, and operational requirements of the Agency. This activity includes preparation of test environment, specifying dates and time for end users to conduct testing, knowledge transfer on any tools to assist end users on how test results will be produced, viewed, and results reported. Testing will further ensure the operations and hardware/software and telecommunications aspects of the new Eligibility Determination System are functioning as designed. Written approvals from the State validate the accuracy and completeness of the deliverables and the State's agreement to proceed to Pilot.

Certify the system meets contract requirements and validate the statewide implementation process.

Deliverables

- 23.1: UAT Test Environment and Tools
- 23.2: Weekly UAT Status Reports
- 23.3: Operational Readiness Report

2.6.23.1 Task 23.1: UAT Test Environment and Tools

In the UAT Test Environment and Tools task, the Vendor will create a test environment specifically for the purposes of user acceptance testing, which shall be a copy of the production environment. The Vendor will be responsible for the creation and maintenance of the UAT environment.

State Responsibility

- Attend orientation training for UAT
- Test and approve the UAT environment and tools
- Lead the acceptance test activities
- Create user acceptance test scripts
- Provide data dependency to Vendor for load
- Create the acceptance test schedule
- Identify and schedule testers
- Conduct tests and validate results
- Track any problems and or discrepancies
- Document results
- Test system processes from end to end including the use of converted data, interfaces, performance, and volume

Vendor Responsibility

- Create test environment and make corrections as needed

- Ensure that all modifications to the Eligibility Determination System software or files are thoroughly unit and system tested prior to transferring new versions to UAT
- Ensure that data is converted to the UAT test environment and data parameters are approved by the State
- Assist with the acceptance test schedule and procedures including such activities as running batch jobs, etc.
- Provide the capability to roll back the test database to checkpoint status and the frequency of refresh
- Assist State in implementation of the acceptance test with respect to generation of test transactions, data, and files, as well as analysis of reasons for unanticipated processing results
- Provide appropriate staff in UAT room to provide technical and/or business assistance to support State testing

Acceptance Criteria

- 23.1: UAT Test Environment and Tools
- Creation and maintenance of a test environment specifically for the purposes of user acceptance testing
- Provision of knowledge transfer to the acceptance testing team and subject matter experts to assist in understanding the Eligibility Determination System , defect tracking system, and testing procedures
- Provision of an acceptance test tracking system which will record scenarios, indicate status, track test results, and produce reports by functional area and status to be used for all phases of testing
- Steps to ensure that UAT environment mirrors the production environment including both controlled test data and representative real production data.
- Execution of acceptance test cycles according to an agreed upon schedule

2.6.23.2 Task 23.2: Weekly UAT Status Reports

The Vendor will provide this weekly report to document activities related to UAT and to identify issues and problems discovered during user acceptance testing for each week of testing. At a minimum, the report must include documentation of individual problems found including the problem statement, tester name, date, resolution provided, and name of the person providing resolution, plan for further testing, summary of problems found, and a graphic representation of problem resolution progress from week to week.

State Responsibility

- Review and approve the Weekly UAT Status Reports
- Monitor Vendor response and resolution of discrepancies or problems

- Approve the final Weekly UAT Status Report
- Document weekly tests performed
- Document tests to be performed the following week
- Provide input on the report format, contents of the report, and distribution of the report

Vendor Responsibility

- Provide timely responses to discrepancy notices
- Develop a State approved report

Acceptance Criteria

- 23.2: Weekly UAT Status Reports
- Creation and distribution of the Weekly UAT Status Reports including a description of all problems/defects identified for each week of testing and the corrective steps taken
- Correction, at no cost to State, of any problems resulting from incorrect computer program code, incorrect data conversion, incorrect or inadequate documentation, or from any other failure to meet RFP specifications or performance standards

2.6.23.3 Task 23.3: Operational Readiness Report

In the Operational Readiness Report task, the Vendor will certify that the Eligibility Determination System , its domains, functions, data, processes, operational procedures, staffing, telecommunications, and all other associated support are in place and ready for operation. This readiness report will identify if the system is ready for Pilot test.

State Responsibility

- Review and Approve Operational Readiness Report to determine system readiness
- Co-facilitate presentation for committee approval to move to the Pilot phase of the project

Vendor Responsibility

- Certify that the Eligibility Determination System , its domains, functions, data, processes, operational procedures, staffing, telecommunications, and all other associated support are in place and ready for operation
- Secure documented State approval that the system is ready for Pilot Test
- Co-facilitate presentation for committee approval to move to the Pilot phase of the project
- Demonstrates readiness for Pilot

Acceptance Criteria

- 23.3: Operational Readiness Report

- Documentation that the Eligibility Determination System , its domains, functions, data, processes, operational procedures, staffing, telecommunications, hardware, network, and all other associated support are in place and ready for operation
- Steps to ensure that conversion to support Pilot is ready
- Resolution of all issues identified as design issues
- Resolution of all defects that prevent use in production
- Inclusion of steps that allow for review and approval of UAT completion by the State (i.e., decision point)
- Documentation that the Disaster Recovery and Business Continuity support for the system is ready.

2.6.24 Activity 24: Software Implementation Process

Objectives

The purpose of the software implementation process is to produce a specified system element implemented as a software product or service. This process transforms specified behavior, interfaces, and implementation constraints into actions that create a system element implemented as a software product or service, otherwise known as a "software item." This process results in a software item that satisfies architectural design requirements through verification of stakeholder requirements through validation.

Description

As a result of the successful implementation of the software implementation process:

- An implementation strategy is defined
- Implementation technology constraints on the design are identified
- The software item is realized
- The software item is packaged and stored in accordance with an agreement for its supply. In addition to its activities, the software implementation has the following lower-level processes:
- Software Requirements Analysis Process
- Software Architectural Design Process
- Software Detailed Design Process
- Software Development Process
- Software Integration Process
- Software Testing Process

Software Implementation Strategy activities consist of the following tasks. The Vendor shall define or select a lifecycle model appropriate to the scope, magnitude, and complexity of the

project. The lifecycle shall be comprised of stages in the purpose and outcomes of each stage. The activities and tasks of the software implementation process shall be selected and mapped into the lifecycle model. These activities and tasks may overlap or interact and may be performed iteratively or recursively.

The developer shall:

- Document the outputs in accordance with the software documentation management process
- Place the outputs under the configuration management process and perform change control in accordance with it
- Document and resolve problems and non-conformance is found in the software products and tasks in accordance with the software problem resolution process
- Perform supporting processes as specified in the contract
- Establish baselines and incorporate configuration items at appropriate times, as determined by the Agency and the Vendor

The Vendor shall select, tailor, and use those standards, methods, tools, and computer languages (if not specified in the contract) that are documented, appropriate, and established by the Agency for performing the activities of the software implementation process and supporting processes. Implementation technology constraints on the design shall be identified as part of the software implementation strategy.

The Vendor shall develop plans for conducting activities of the software implementation process. The plans shall include specific standards, methods, tools, actions, and the responsibility associated with the development and qualification of all requirements including safety and security. If necessary, separate plans may be developed. These plans shall be documented and executed.

Non-deliverable items may be employed in the development or maintenance of the software product. However, it shall be ensured that the operation and maintenance of the deliverable software product after its delivery to the Agency are independent of such items; otherwise, those items shall be considered a deliverable.

Deliverables

Software implementation planning is incorporated into the other lifecycle plans noted. The Software Implementation Process is included here to demonstrate the expected integration of these activities in an integrated Vendor lifecycle.

2.6.25 Activity 25: Transition and Stabilization Maintenance

Objective

The purpose of the Transition and Maintenance Process is to provide cost-effective support to the transition and realization of a delivered software product. Pre-delivery software maintenance processes include planning for post-delivery operations, supportability, and logistics

determination. Post-delivery Activities include software modification and operational support, such as knowledge transfer or operating a help desk. The Vendor ensures that operational support and continuing maintenance of the new Eligibility Determination System is successfully transitioned to the State.

Description

As a result of successful implementation of this process:

- Maintenance strategies developed to manage modification and migration of products according to the release strategy
- The impact of changes to the existing system on organization, operations or interfaces are identified
- Affected system in software documentation is updated as needed
- Modification products are developed with associated tests that demonstrate their requirements are not compromised
- Product upgrades are migrated to the Agency's environment
- The system software modification is communicated to all parties

Process implementation requires the maintainer to develop, document, and execute plans and procedures for conducting the activities and tasks of the software maintenance process. The maintainer shall establish procedures for receiving, recording, and tracking, problem reports, and modification requests from the users and providing feedback to the user. Whenever problems are encountered, they shall be recorded and entered into the problem resolution process. The maintainer shall implement (or establish organizational interfaces with) the configuration management process for managing modifications to the existing system.

The Problem and Modification, Analysis Process consists of the following tasks:

- The maintainer shall analyze the problem report or modification request for its impact on the organization, the existing system, and the interfacing systems for the following:
    - Type; for example, corrective, improvement, preventative, or adaptive to new environment
    - Scope; for example, size of modification, cost involved, time to modify
    - Criticality; for example, impact on performance, safety, or security
- The maintainer shall replicate or verify the problem. Based on the analysis, the maintainer shall develop options for implementing the modification.
- The maintainer shall document the problem/modification request, the analysis results, and implementation options
- The maintainer shall obtain approval for the selected modification option as selected in the contract

- In the Modification Implementation activity the maintainer shall conduct analysis and determine which documentation, software units, and versions thereof need to be modified. They shall be documented.

Test evaluation criteria for testing and evaluating the modified and the unmodified parts (software units, components, and configuration items) of the system shall be defined and documented. The complete and correct implementation of the new and modified requirements shall be ensured. It shall be ensured that the original, unmodified requirements were not affected. The test results shall be documented.

The Maintenance Review/Acceptance activity consists of the following tasks:

- The maintainer shall conduct reviews with the organization authorizing the modification to determine the integrity of the modified system
- The maintainer shall obtain approval for the satisfactory completion of the modification as specified in the contract

The Migration activity consists of the following tasks:

- If the system or software product (including data) is migrated from an old to a new operational environment, it shall be ensured that any software product or data produced or modified during migration is in accordance with the contract
- A migration plan shall be developed, documented, and executed. The planning activity shall include users. Items included in the plan include the following:
    - Requirements analysis and definition of migration
    - Development of migration tools
    - Conversion of the software product and data
    - Migration execution, migration verification, and support for the old environment in the future, if applicable
- Users shall be given notification of the migration plans and activities. Notification shall include the following:
- Statement of why the old environment is no longer to be supported
- Description of the new environment with the state of availability
- Description of other support options available, if any, once support for the old environment has been removed
- Parallel operations of the old and new environments may be conducted for smooth transition to the new environment. During this period necessary training shall be provided as specified in the contract. When the scheduled migration arrives, notification shall be sent to all concerned. Associated old environment documentation, logs and code shall be placed in archives.

- A post-operation review shall be performed to assess the impact of changing the environment. The results of the review shall be sent to the Agency for information, guidance, and action.

Data used by or associated with the old environment shall be accessible in accordance with the contract requirements for data protection and audit applicable to the data, if any.

The Vendor is responsible for planning for and preparing State staff to support the new Eligibility Determination System through training and knowledge transfer. Activities and timeframes for the transition to operations and maintenance are defined in the plan. Evaluations and operating procedures provide information to keep the new Eligibility Determination System in use most effectively. Updated documentation ensures that all affected personnel have the needed information to support and use the new Eligibility Determination System.

Deliverables

- 25.1: Transition Plan
- 25.2: Post-Implementation Evaluations
- 25.3: System Updated Documentation

2.6.25.1 Task 25.1: Transition Plan

The Vendor will create the Transition Plan, which describes the activities and timelines necessary to transition the operations and maintenance of the new Eligibility Determination System to State staff, including knowledge transfer, mentoring, and hands-on experience, and identifying the components and criteria required to perform final transition to State staff. It shall, at a minimum, include:

- Transition planning information which defines the approach, activities and schedule for the transition including plans for the Vendor's assistance in performing operations and maintenance prior to and during the one-year Warranty Period. The transition planning section will include the readiness assessment approach and a transition activity matrix, which lists each State staff person to be included in transition activities, identifies the activity that each person will be involved in, and provides the schedule for each activity by person.
- Final system turnover - The final system turnover shall include things such as system performance monitoring and tuning, all software used to operate the system, updated source code, production control and system operations, up-to-date documentation, etc.
- The Vendor will provide staffing recommendations for the State staff to assume the ongoing operations and maintenance of the new Eligibility Determination System. The staffing recommendation shall include a recommendation for staffing levels by position, an organizational chart, and roles and responsibilities descriptions for each position.
- Final System Turnover Assessment, which consists of two components:
- An analysis of the system against any new Federal and State mandates, any outstanding design considerations not part of the current contract, and an assessment of

staff readiness to support the system, including an identification of areas that present risk to the turnover

- Turnover results report documenting completion and results of the turnover plans, as well as current system status information, outstanding problems, and recommendations for system enhancements, if any. This is completed upon successful turnover to the State.

State Responsibility

- Review and approve the Transition Plan
- Provide appropriate State technical staff to support operations and maintenance of the new Eligibility Determination System
- Participate in the transition activities, according to the agreed-upon the Transition Plan
- Assume primary responsibility for Operations
- Secure budget for staffing to support the operations and transition period

Vendor Responsibility

- Assess the readiness of State technical staff to assume full operations and maintenance of the new system
- Provide warranty support (break fix) during the Warranty Period including monitoring system processing and performance
- Complete knowledge transfer and transition for State staff to support the new system

Acceptance Criteria

- 25.1: Transition Plan
- Documentation of the Transition Plan as described in this RFP
- Inclusion of comprehensive detailed organization charts with roles and responsibilities
- Provision of a final turnover result report
- Correction of any outstanding defects in the system prior to transition

2.6.25.2 Task 25.2: Post-Implementation Evaluations

The Vendor will conduct post-implementation evaluations, report on the evaluations, and develop an improvement plan regarding the effectiveness of the implementation. The purpose of the Post-Implementation Evaluation is to assess:

- Whether the implementation achieved the defined goals
- Is the Eligibility Determination System operating efficiently and effectively
- What is the level of acceptance of the Eligibility Determination System by users
- Was the knowledge transfer effective

- Are the users following the defined policies and processes
- Are there areas for business improvement

The Vendor will prepare and execute a plan to conduct two post-implementation evaluations, the first one scheduled for six months following implementation, and the second one after one year, at the end of the Post-Implementation Support Period.

Following each post-implementation review, the Vendor will be required to prepare a written Implementation Review report recapping each review session and providing an assessment of the implementation status.

In addition to the Implementation Review Report, the Vendor will submit an Implementation Improvement Recommendation Report outlining recommendations for improvement to the Eligibility Determination System implementation. The final Implementation Improvement Recommendation Report will summarize overall findings and project status, and identify recommended activities for improvement to be undertaken in the medium and long-term. A comparison of actual performance to goals will be included.

State Responsibility

- Review and approve Post Implementation Evaluation
- Identify and provide appropriate State staff to participate in post-implementation evaluations
- Collaborate on format and content for evaluation

Vendor Responsibility

- Develop evaluation format and content
- Obtain input for evaluations
- Analyze and summarize results of post-implementation evaluations
- Develop recommendations for improvement

Acceptance Criteria

- 25.2: Post-Implementation Evaluations
- Documentation of the Post Implementation Evaluation as described in this RFP
- Documentation of future enhancement recommendations based on the analysis conducted for final turnover
- Inclusion of lessons learned

2.6.25.3 Task 25.3: System Updated Documentation

The Vendor shall submit to the State the current and complete versions of all Eligibility Determination System documentation in a form and content consistent with all applicable State standards. This documentation will include, but is not limited to:

- Requirements documents that provides the State how each requirement was met
- System architecture and design documents, which are updated with any changes that occurred during design, development, testing, and implementation
- Development Library, which includes any changes made from the original documentation (created in development)
- Instructional materials, which include any changes needed based on lessons learned during knowledge transfer and implementation

State Responsibility

- Review and approve all updated deliverables
- Collaborate with Vendor on which deliverables require revisions
- Take over maintenance of updated documentation

Vendor Responsibility

- Identify which deliverables require revisions
- Discuss the identified deliverables with State to ensure there is a comprehensive list

Acceptance Criteria

- 25.4: System Updated Documentation
- Updating and submission of all deliverables that required revisions
- Complete, accurate, and up-to-date documentation at transition

2.6.26 Activity 26: Documentation Management

Objective

The purpose of the software documentation management process is to develop and maintain the recorded software information produced by process.

Description

As a result of the successful implementation of the software documentation management process:

- The strategy identifying the documentation to be produced during the lifecycle of the software product or services developed
- The standards to be applied for the development of the software documentation are identified
- Document specification templates are used to establish agreed-upon outlines for each document type
- Documentation to be produced by the process or project is identified

- The content and purpose of all documentation as specified, reviewed, and approved through the use of document specification templates
- Documentation is developed and made available in accordance with identified standards
- Documentation is maintained in accordance with defined criteria

During design and development each identified document shall be designed in accordance with applicable documentation standards for medium, format, content description, page numbering, figure/table placement, proprietary/security, marketing, packaging, and other presentation items. The documentation may originate and may terminate in any form (verbal, textual, graphical, and numerical). The source and appropriateness of input data for the documents shall be confirmed through the use of a document-specific documentation template approved by the Agency not less than 30 days before its intended use. Automated documentation support tools may be used. The prepared documents shall be reviewed and edited for format, technical content, and presentation style against their documentation standards. They shall be approved for adequacy by authorized personnel prior to use.

The Production Activity consists of the following tasks:

- The document specification template and completed document shall be produced in provided in accordance with the plan. Production and distribution of documents may use paper, electronic, or other media, master material shall be stored in accordance with the requirements for record retention, security, maintenance, and backup.
- Control shall be established in accordance with the software configuration management process

The Maintenance activity consists of the following tasks:

- The tasks of the software maintenance process the required when documentation is to be modified, shall be performed. For those documents that are under configuration management, modification shall be managed in accordance with the software configuration management process.

Deliverables

- 26.1: Document Management Plan
- 26.2: Document Template Specifications for each document type

2.6.26.1 Task 26.1: Document Management Plan

Software documentation management process implementation consists of a plan, identifying the documentation to be produced during the lifecycle of the software product. There shall be developed, documented, and implemented. For identified documentation, the following shall be addressed:

- Title or name
- Purpose and content

- Intended audience
- Procedures and responsibilities for inputs, development, review, modification, approval, production, storage, distribution, maintenance, and configuration management
- Schedule for immediate and final versions

State Responsibility

- Review and Approve Document Management Plan

Vendor Responsibility

- Produce Document Management Plan
- Implement Document Management Plan
- Audit processes for conformity to the Document Management Plan

Acceptance Criteria

- 26.1 Document Management Plan
- The strategy identifying the documentation to be produced during the lifecycle of the software product or services is developed
- The standards to be applied for the development of the software documentation are identified
- Documentation to be produced by the process or project is identified
- The content and purpose of all documentation as specified, reviewed, and approve
- Documentation is developed and made available in accordance with identified standards
- Documentation is maintained in accordance with defined criteria

2.6.27 Activity 27: Operations

Objective

The purpose of the software operation processes to operate the software product in its intended environment and to provide support to the Agency of the software product. The Agency expects the Vendor to prepare the Agency for its role as Operator of the system, and that operational support and continuing maintenance of the new Eligibility Determination System is successfully transitioned to the State.

The Agency expects that the system will be supported by two help desk systems – the first will be public facing and will receive and service calls from the recipients of benefits. This call center will be an Agency responsibility. The Vendor will be required to produce a plan for this capability and deliver it to the Agency for implementation.

The second call center capability is that of an Agency-internal help desk for functional or technical assistance with the Eligibility Determination System. This will be a vendor

responsibility to plan and implement. This call center will be functional at IOC and will continue to be staffed for six months following IOC at which time it will be turned over to the Agency to operate.

The Vendor will put into production a tested and operational Eligibility Determination System with minimal disruption to applicant/beneficiaries and State personnel through the provision of Help Desk Support during implementation, and transition Help Desk Support over six months into the warranty period to Alabama Medicaid Agency.

Description

As a result of the successful implementation of the software operation process:

- An operation strategy is defined
- Conditions for the correct operation of the software in its intended environment are identified and evaluated
- Software is tested and determined to operate in its intended environment
- The software is operated in its intended environment
- Assistance and consultation is provided to the Agency of the software product, in accordance with the contract

The Preparation for Operation activity consists of the following tasks. The operator shall develop a plan and set operational standards for performing activities and tasks of this process. The plan shall be documented and executed. The operator shall establish procedures for receiving, recording, resolving, tracking problems, and providing feedback. Whenever problems are encountered, they shall be recorded and entered into the software problem resolution process. The operator shall establish procedures for testing the software product in its operational environment, for entering problem reports and modification requests to the software maintenance process, and for releasing the software product for operational use.

Operation Activation and Checkout: For each release of the software product, the operator shall perform operational testing, and on satisfying the specified criteria, releases software product for operational use. The operator shall ensure that the software code and databases initialize, execute, and terminate as described in the plan. The operator shall activate the system in its intended operational situation to deliver instances of service or continuous service according to its intended purpose.

Continuous service capacity and quality will be maintained when the system replaces an existing system that is being retired. During the specified period of changeover or concurrent operation, manage the transfer services so that the continuing conformance to the persistent stakeholder needs is achieved.

Operational Use is defined by the following tasks. The system shall be operated in its intended environment according to the user documentation. Operating in the intended environment includes developing criteria for operational use so that compliance with agreed requirements can be demonstrated, and performing operational testing of each release of the product, assessing satisfaction again specified criteria. Risks to product operation are identified and

monitored. The operator monitors operational services on a regular basis, where appropriate, against defined criteria.

Customer Support is defined as having the operator provide assistance and consultation to users as requested. These request and subsequent actions shall be recorded and monitored. Assistance and consultation includes the provision of knowledge transfer, documentation, and other support services supporting effective use of the product. The operator shall forward user requests as necessary to the software maintenance process for resolution. These requests shall be addressed and the actions that are planned and taken shall be reported to the originators of the requests. All resolutions shall be monitored to conclusion. All resolutions must be held to a defined level of performance standards such as length of wait times, speed of resolution as examples.

In the Operational Problem Resolution activity the operator shall forward identified problems to the software problem resolution process. If a problem is reported, as a temporary workaround before permanent solution can be released, the originator of the problem report shall be given the option to use it. Permit corrections, releases that include previously omitted or functions or features, and systems improvements shall be applied to the operational software product using the software maintenance process.

The Vendor is responsible for planning and preparing State staff to support the new Eligibility Determination System through training and knowledge transfer. Activities and timeframes for the transition to operations and maintenance are defined in the plan. Evaluations and operating procedures provide information to keep the new Eligibility Determination System in use most effectively. Updated documentation ensures that all affected personnel have the needed information to support and use the new Eligibility Determination System.

The Vendor shall provide the written help desk procedures and the staff required to respond to user questions regarding the Eligibility Determination System that State Help Desk staff are unable to solve during the Pilot deployment. The Vendor will ensure that, prior to the start of Pilot, a Help Desk support system is available and Help Desk staff is trained in the new Eligibility Determination System. The Vendor staff shall provide backup support to State Help Desk staff after the Pilot deployment. The Help Desk Plan and the Help Desk Transition Plan must clearly state the roles and responsibilities during the Pilot and through Implementation. The Procedure manual will specify the processes to follow to support the Help Desk.

Deliverables

- 27.1: Operating Procedures
- 27.2: Help Desk Transition Plan
- 27.3: Help Desk Plan; Public Facing Help Desk Plan
- 27.4: Help Desk Procedures manual

2.6.27.1 Task 27.1: Operating Procedures

The Vendor will document the Operating Procedures to assist programmers and other technical staff in operation and maintenance of the system. These procedures help define and provide understanding of system operations and performance. The operations procedures will address all facets of the technical operation of the system including the following topics:

- System troubleshooting and system tuning procedures
- System administration procedures, such as copy file management and code management
- System interface processing procedures
- Online and batch processing procedures
- System backup and recovery procedures
- System password and user ID maintenance procedures
- Unique processing procedures
- Report generation procedures
- Menu structures, chaining, and system command mode operations procedures
- Job scheduling/dependencies procedures, if applicable
- Job cycles (daily, weekly, monthly, quarterly, annually, and special) procedures, if applicable
- System monitoring tools procedures

State Responsibility

- Review and approve Operating Procedures
- Take over maintenance of operating procedures manuals
- Collaborate on the content and format of the Operating Procedures

Vendor Responsibility

- Collaborate on the content and format of the Operating Procedures
- Create manuals

Acceptance Criteria

- 27.1: Operating Procedures
- Documentation of the Operating Procedures as described in this RFP
- Provision of comprehensive manual that supports Eligibility Determination System operations

2.6.27.2 Task 27.2: Help Desk Transition Plan

The Vendor will provide and execute a Help Desk Transition Plan, which outlines all activities necessary for an orderly turnover to the Agency of all help desk activities including usage of scripts and decision trees.

State Responsibility

- Review and approve User Help Desk Transition Plan
- Collaborate with Vendor to create a timeframe for turnover

Vendor Responsibility

- Review lessons learn from Pilot and implementation
- Incorporate best practices and lessons learned into the transition plan
- Create a checklist of all the necessary activities for transition

Acceptance Criteria

- 27.2: Help Desk Transition Plan
- Documentation of the Help Desk Transition Plan as described in this RFP and Help Desk Plans
- Documentation of the necessary steps, resources, and activities that must be completed to transition the help desk

2.6.27.3 Task 27.3: Help Desk Plan, Public Facing Help Desk Plan

The Vendor will create the Agency-Internal Help Desk Plan for operations, including integrated Vendor and State staffing, communications, procedures, and reporting mechanisms. It will include topics, such as appropriate Vendor and State staffing levels, skills required, role of power-users, response times, and call routing.

The Vendor will also create a Public Facing Help Desk Plan to address the need for the Agency to respond to requests for help from the public. 100% call recording is required for the Public facing Help Desk. Recordings will be maintained a minimum of 12 months. Call recording needs to be included in the Disaster Recovery Plan. The Public Facing Help Desk Plan will be delivered to the Agency for Agency implementation.

State Responsibility

- Provide input and clarification to the Vendor as needed
- Review and approve Help Desk Plan and Public Facing Help Desk Plan
- Provide State staffing to support Help Desk
- Provide a telelanguage service for calls other than Spanish or English that require interpretation

- Identify location and hours of operation of the Help Desk

Vendor Responsibility

- Develop an approach and collaborate with State to create the Agency-Internal Help Desk Plan
- Develop an approach and collaborate with the State to create the Public Facing Help Desk Plan
- Document qualifications of Help Desk staff
- Provide Vendor staff (a minimum two Spanish speaking agents) to answer questions that State staff are unable to answer
- Provide Vendor staffing plan to support Help Desk

Acceptance Criteria

- 27.3: Help Desk Plan
- Documentation of the Help Desk Plan as described in this RFP
- Inclusion of methodology for developing the plan
- Inclusion of organization charts to document the State and Vendor integrated team
- Documentation of the State versus Vendor roles and responsibilities
- Identification of performance standards

2.6.27.4 Task 27.4: Help Desk Procedures Manual

The Vendor will create the Help Desk Procedures Manual, which defines and documents the help desk processes and procedures for both the Agency-Internal Help Desk and the Public Facing Help Desk. These procedures will include at a minimum, problem identification and initial diagnosis, problem escalation procedures, problem ticketing, problem logging, assignment of priority, and ability to search through previous problems to find resolutions for new problems.

State Responsibility

- Provide input and clarification to the Vendor as needed
- Review and approve Help Desk Manuals
- Collaborate on procedures

Vendor Responsibility

- Collaborate with staff on the procedures needed to support the Help Desks
- Review State's current problem escalation, ticketing, logging, and assignment procedures
- Make recommendations for improvement on current procedures

Acceptance Criteria

- 29.4: Help Desk Procedures Manual
- Documentation of the Help Desk Procedure Manuals as described in this RFP
- Inclusion of methodology for developing the procedures and manuals

2.6.28 Activity 28: Federal Review and Certification

Objective

Have all information needed for CMS review and monitoring activities.

Description

At the earliest opportunity after implementation, the State plans to request a Federal review in order to determine if the Eligibility Determination System is federally compliant. The Vendor will assist the State in preparing for and conducting these reviews.

Deliverables

- 28.1: Assist with Federal Review

2.6.28.1 Task 28.1: Assist with Federal Review

The Vendor shall prepare documentation for submission to the Federal Government to support Federal review and approval of the Eligibility Determination System. The Vendor will create the Federal Review and Monitoring Package, which documents the CMS Review and Monitoring activities that lead up to a final official review. The Review and Monitoring Package will be used to help assure a successful review of the new Eligibility Determination System post-implementation. The Federal Review and Monitoring Package will include at a minimum:

- Complete Review and Monitoring Activity Documentation
- Complete Review of any deficiency found in interim review
- Any System documentation requested for the review which may include:
    - System Documentation
    - User Manual Version
    - Operating Procedures
    - Acceptance Test Results
    - Substantive and representative sample of reports

State Responsibility

- Schedule with CMS for Review and Monitoring
- Obtain any additional documentation required by CMS for their onsite review

- Lead the coordination of the Federal Review and Monitoring activities
- Approve the composition of the Review and Monitoring team
- Provide Agency resources to participate in the Review and Monitoring activities

Vendor Responsibility

- Support monitoring activities as requested prior to completion of contract
- Create the necessary documentation needed for the CMS review
- Provide resources onsite to support the Agency in the review process

Acceptance Criteria

- 28.1: Federal Review and Monitoring Package Interim and Final Review
- Documentation of the Federal Review and Monitoring Package Interim and Final Review as described in this RFP
- Documentation of any corrective action plans or next steps needed based on the review
- Delivery of any additional materials requested by CMS

3 REQUIREMENTS

3.1 System Requirements

The approach to requirement analysis has been and continues to be an iterative process. Traceability and mapping are key components throughout this iterative process as it is the Agency's goal to:

- Document the business need
- Ensure there are no gaps
- Meet federal regulations
- Improve MITA alignment and Agency maturity level
- Guarantee CMS certification

The requirements analysis process actually began prior to the Phase I of the RS Modernization Project with the Agency's development of a "wish list." During Phase I of the RS project, baseline requirements were developed to formalize the "wish list." Before moving into Joint Application Requirement (JAR) sessions, a requirement mapping exercise was performed to identify any gaps that would need to be addressed in the JAR sessions. This exercise consisted of mapping:

- Baseline Requirements to original Wish List
- Baseline Requirements to MITA Business Processes and Capabilities
- Baseline Requirements to MITA To Be goals

Requirements were further developed in JAR sessions with Agency staff in attendance representing all applicable areas. Approximately 1,550 requirements have been documented to date and are located in Appendix E.

The Agency's expectation is that the Vendor's solution will facilitate movement along the MITA maturity spectrum toward their goal of being at least a Maturity Level (ML) 3 in Eligibility and Enrollment. Figure 5 depicts the hierarchical relationship between a MITA business service (Eligibility and Enrollment) and the sub-groups of business requirements that support this MITA business service. This model was used to organize business requirements into categories of processes. It provided a structured framework for grouping together business processes that have a common purpose and share data.

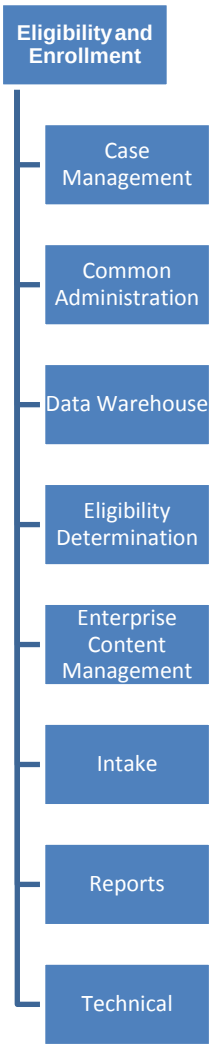


Figure 5: Hierarchical Relationship

These requirements represent four MITA business services (Member Management, Operations Management, Care Management, and Program Management) and seven MITA technical areas (Business Enabling Services, Access Channels, Interoperability Channels, Data Management and Data Sharing, Performance Management, Security and Privacy and Flexibility-Adaptability and Extensibility). They are documented in a requirements management tool where traceability will be maintained through the life cycle of the project. Figure 6 depicts the final inputs, which are located in the Procurement Library, to system requirements.

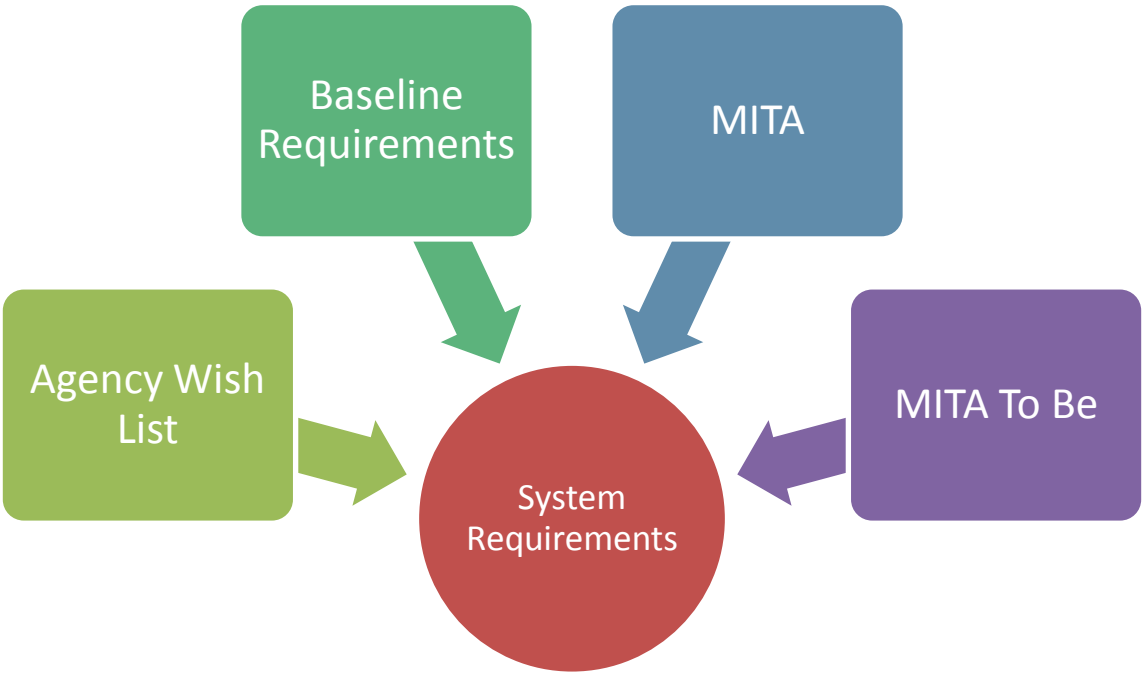


Figure 6: System Requirements

The focus of this RFP is an eligibility determination system which will be supported by approximately 1,500 system requirements in Appendix E and other statement of works throughout this RFP.

As a high-level summary of the system requirements, the Agency is seeking a solution that incorporates the MITA Framework into a SOA solution that uses ESB integration to enhance the interoperability of a technological innovated N-Tier system based on a rules-driven engine. It is the Agency's plan in this RFP to require that the selected Vendor meet all requirements and specifications to build and deliver a technological state of the art, highly efficient N-Tier modeled system that drives a business rules based application software system that is scalable, transferable, and fully integrated. The Agency will require that the N-Tier design of the system utilize relational database technology as its foundation and database tier/level. As the middle tier in the N-Tier design, the plan is for the rules based engine to work in conjunction with the database engine and the presentation tier/level in order to deliver a modern, efficient, intelligent information system that meets or exceeds stakeholders' needs. The modernized N-Tier design of the future eligibility claims system shall be built to align with all aspects of the ACA, the MITA Framework and technology architecture for standards, interoperability, data exchange, and advancement of the MITA 3.0 Maturity Level of the business and technical areas and processes.

The desired system design, development, and subsequent implementation of a new eligibility claims system must meet the Agency's goals and produce benefits that significantly improve and simplify business processes or tasks. The newly implemented system shall:

- Automate certification processes for eligibility workers
- Provide an electronic case file
- Provide document management or integrate seamlessly with the current system
- Improve recipient services
- Increase speed of service
- Make maximum use of human and technology resources
- Deliver short and long term administrative cost savings
- Reduce errors in processing applications
- Employ Federal and State required file transmission processes (Medicare Modernization Act of 2003 (MMA Part D), CMS's Medicare EDB, Internal Revenue Service (IRS), Social Security Administration (SSA) and others)
- Implement interfaces and data exchanges with other Alabama state agencies, Federal and private entities and vigorously employ interface file matches in the eligibility determination process
- Ensure end to end secure transmission of all data
- Provide ease in system software maintenance
- Integrate inputs and production of output files and reporting
- Facilitate change management processes
- Include tools which support the following:
    - Beneficiary outreach, intake and referral, document and workflow management, beneficiary verification and validation, beneficiary eligibility determination and enrollment, beneficiary case maintenance, and reporting
    - HIPAA standard 270/271 transactions

In summary, the Agency will be seeking a solution that incorporates MITA Framework into a SOA solution that uses ESB integration (or similar functionality) to enhance the interoperability of a technologically innovated N-Tier system based on a rules-driven engine. To the extent feasible, any services developed under this contract will be made available to Medicaid and other agencies they choose to share with in an effort to leverage applications.

The Eligibility Determination System requirements are listed in Appendix E. A mandatory Requirements Response Matrix for the mandatory/optional functional and non-functional requirements is provided in Form D - Requirements Response Matrix.

In the Requirements Response Matrix, the Vendor must note the degree to which their proposed solution currently (at the time of proposal submission) meets each requirement in an operational production environment. This form must be completed and returned as part of the proposal.

3.2 Proposal Requirements

In addition to the 1,550 specific system requirements, the Vendor will need to address the following areas:

3.2.1 System Solution

The Agency desires to fairly evaluate and be open to all solutions even if they do not meet all desired technical requirements. An evaluation process will be developed that will give some advantage to vendors that meet certain technical requirements but not make them mandatory. Those areas that have been identified as negotiable are:

- Platform
  - The Agency prefers a server based system but will consider mainframe or mixed platform solutions
- Microsoft Environment
  - The Agency operates in a Microsoft technology environment and desires solutions to make maximum use of the tools that are available in this environment as it will further the Agency's direction toward leveraging existing frameworks which the Agency can maintain in the future but will consider other alternative solutions
- Web-based system
  - The Agency prefers a web-based system but will consider one with a web interface on the front end. Any development of a web interface shall leverage the developments of the UX 2014 group to whatever extent possible.
- Document Management
  - The Agency is in the process of implementing a document management system using KnowledgeLake and SharePoint and would prefer a system which incorporates the work and tools already completed in this project, seamlessly; however it is understood that there are many quality solutions on the market and as long as the current metadata could be used or easily converted other solutions will be considered as long as it meets or exceeds the efficiency of the current system
- Online application
  - The Agency is partnering with the DPH in a unified online application (www.insurealabama.org) and desires a solution that will leverage the use of this application if it will maximize the total solution
- Software

  - The Agency is open to solutions that require software not currently being maintained by the Agency as long as it is clearly identified in a proposal and included in pricing for evaluation purposes
- Pricing
  - A comprehensive pricing model covering all things known and unknown including development, implementation, knowledge management, and support

The solution shall include an inventory of all hardware and software including details of requirements of operating systems, memory service packs product keys and versions. The solution must discuss the type of rules engine to be used the manner in which it will be implemented and the approximate number of rules executed for a given business process. The solution shall also address performance standards in Appendix R and provide an analysis of whether or not the Agency's current environment can support these requirements. If the current environment cannot support these performance standards, the Vendor shall estimate what the Agency could anticipate in relation to system availability, performance, response time, and accuracy if the current environment was kept in place. The Agency acknowledges that if the current environment cannot support the performance standards, it is their decision whether or not to procure recommended hardware and software. If procurement is not made, the Agency will take the estimates provided in the Vendor's response and negotiate new performance standards.

The solution pricing shall also include the following components:

- Software Product License(s) (where applicable)
- Software Product Annual Maintenance

The Agency is also interested in the long-term benefits of outsourcing the system as opposed to maintaining the system themselves. The solutions pricing shall provide an option for the Vendor to provide all services, hardware, software and operations processing. The costs of both solutions will be evaluated.

3.2.2 Integration and Implementation Services

Each vendor shall propose a detailed implementation strategy including the integration of all the system components. Vendors shall use the information provided throughout this document to help them formulate their integration and implementation strategies. Important aspects of the integration and implementation services strategy and approach include:

- An integration and implementation strategy that maximizes end user productivity and minimizes disruption of work
- A solution where all system users are mentored, building their capacity to utilize and oversee the system
- Demonstration of how User Support staffing will be bolstered during each phased deployment to provide the extra help needed to facilitate the work to be accomplished

- Software product configuration activity shall be completed with Agency personnel actively involved in configuring the system to ensure that knowledge transfer is maximized

The following is a high-level list of the integration and implementation services that are required in this RFP. Tasks and Deliverables are discussed in further detail in Section 2.6. However, additional services may be required to ensure integration and implementation success in accordance with the Vendor's methodology.

- Project Management Methodology
  - Project Planning
  - Project Assessment and Control
    - Project Time Reporting
    - Status Reporting
  - Risk Management
  - Issue Resolution
  - Action Item Tracking
  - Project Controls, Standards, and Procedures
- Configuration Management
- Requirements Validation, Analysis, Business Process Design
- Technical Architecture and Infrastructure Design
  - Conceptual Architectural Design
  - Detailed Design
- System Development Methodology
  - Customizations
    - Reports Analysis and Development
    - Enhancements and Modifications
    - Interface Development
    - Data Conversion
    - Workflow Configuration
    - Automated Forms Configuration
- Security Management
  - Security
  - Security Profile Management
  - Security Audit Trails

- Testing
  - Unit Testing
  - Integration Testing
  - System Testing
  - Interfaces Testing
  - Conversion and Migration Testing
  - User Acceptance Testing (UAT)
  - Performance / Stress Testing
- Software Revisions (Patches and Fixes)
- Quality Assurance
- Knowledge Management
- Documentation Management
- Document Imaging Services
- Operational Readiness Assessment
  - Communications
  - Cultural Change Management
  - Skills Needs and Gap Assessment
  - Creating and Mentoring Change Agents
  - Organizational Readiness
  - Production Transition
- User Support Services
- Deployment (Roll-out) Support Services
- Post-Implementation Support Services

3.2.3 Stabilization and Operations

The Stabilization period begins when all requirements have been successfully implemented and the Agency has determined that those requirements are fully operational. The Vendor shall propose the support that they will provide during the stabilization period. The stabilization is currently defined as a one year period. Should additional support be required by the Agency, the Contract may be renewed at the completion of the initial Contract period for one year renewal periods upon mutual agreement of the parties. The Vendor shall also specify in the proposal the number of staff and skill sets that will be necessary to support this system once the State assumes responsibility.

As indicated in Section 3.2.1, the Agency is also interested in the long term benefits of outsourcing the system and support as opposed to maintaining the system themselves. The solutions pricing shall provide an option for the Vendor to provide all services, hardware, software and operations processing. The costs of both solutions will be evaluated.

3.3 Affordable Care Act Requirements

The implementation of the Affordable Care Act will introduce new complexities and challenges to the state of Alabama. Although many details of the new provisions remain unknown, it is absolutely essential that the Eligibility Determination System application support not only the additional workflows, processes, and rules that will be introduced, but also the tremendous increase in the number of members that are served and the culture change that will occur as a result of this landmark implementation. An initial estimate of the number of additional members to be served in Alabama is approximately 400,000 to 500,000 recipients. The Eligibility Determination System must support the expansion of Medicaid under the Affordable Care Act. While the supporting policies and rules are not yet determined, the general functionality provided by the system must have sufficient flexibility to easily include these new processes and rules via contract change order.

CMS has published the following proposed rules regarding Medicaid eligibility and enrollment changes:

- CMS 2011-20756_PI Eligibility Changes under ACA
- CMS 2011-20776_PI Eligibility Determinations

Although these are out for public comments and could change, it is important to note the significant changes to the methodology of defining income using the Modified Adjusted Gross Income (MAGI) as defined in the Internal Revenue Code of 1986 (IRC). Another key difference is the change in household definitions. These two changes will result in significant increases in the number of individuals served by Medicaid. The Vendor will need to keep abreast of these rules as they are finalized, the potential challenges that they bring, and provide assurance that their solution will meet CMS requirements for eligibility and enrollment..

As indicated in Section 1.2.7, a complicating factor in developing eligibility systems is that states must track who is newly eligible for Medicaid (versus those who would have been previously eligible). The FMAP for the newly eligible is 100% for calendar years 2014 – 2016 declining to 90% by 2020. CMS has proposed three alternative approaches to determining the applicable FMAP including: Threshold, Sampling and an Outside Data Source. CMS plans to combine and or modify these approaches by the final rule. The maintenance of dual eligibility systems will not be necessary. The Agency will need to determine which of the three alternatives will meet their needs most effectively.

The Vendor‘s proposal needs to address the following issues under TAB 5 (see section 5.2.2.10 for details on TAB 5) Proposed Solution:

1. How will the proposed solution support the expansion of the Medicaid program required by ACA? Include an explanation of how the proposed solution will support

determinations using the Modified Adjusted Gross Income (MAGI). Please see ACA Sections 1401, 2001, 2002, 2004, 2101, and 2402.

2. How will the proposed solution ensure that Medicaid eligibility and enrollment are appropriately and adequately coordinated with the Exchange? Please see ACA Section 2201.
3. How will the proposed solution support a streamlined enrollment process for all public enrollment and renewal options? This includes a single internet website for all public enrollment and renewal options and expedited determinations. Please see ACA Section 2201.
4. How will the proposed solution maximize data-matching to support eligibility determinations? Please see ACA Sections 1411, 1413, and 1414.
5. How will the proposed solution support any interoperable and secure standards or protocols established by HHS (and the HIT Policy and Standards Committees) to facilitate enrollment? Please see ACA Section 1561.
6. Does the proposed solution provide other additional services or features necessary to support full implementation of the Affordable Care Act that the Agency may wish to consider?
7. A technical architecture that supports all aspects of this implementation is a critical evaluation component to this procurement. **The Agency will carefully consider Proposals that creatively address how their technical solution will support the Affordable Care Act implementation.** Although the Agency fully understands many unknowns still exist with the ACA implementation, the proposal shall provide a detailed explanation of how the solution will meet the future model created by the ACA.

3.3.1 Conditions and Standards

In addition to meeting the above objectives, the new eligibility determination system shall meet the conditions and standards for enhanced federal match through the design, development, integration, implementation, and operation of a system that will:

3.3.1.1 Be Modular

The new system shall adhere to the CMS definition of a modular, flexible approach to systems development, including the use of open interfaces and exposed application programming interfaces (APIs); the separation of business rules from core programming; and the availability of business rules in both human and machine-readable formats. The commitment to formal system development methodology and open, reusable system architecture is extremely important in order to ensure that the Agency can more easily change and maintain systems, as well as integrate and interoperate with a clinical and administrative ecosystem designed to deliver customer-centric services and benefits.

The definition of ‘Modularity’ is breaking down systems requirements into the lowest component parts and still be functional. The MITA Business Processes of ‘determine eligibility’ and ‘enroll

member' are the foundation for the entire system. Other business process areas that are addressed within the requirements are:

- Manage Applicant and Member Communication
- Manage Member Information
- Disenroll Member
- Manage Member Grievance and Appeal

Figure 7 reflects the relationship between MITA and the new eligibility determination system.

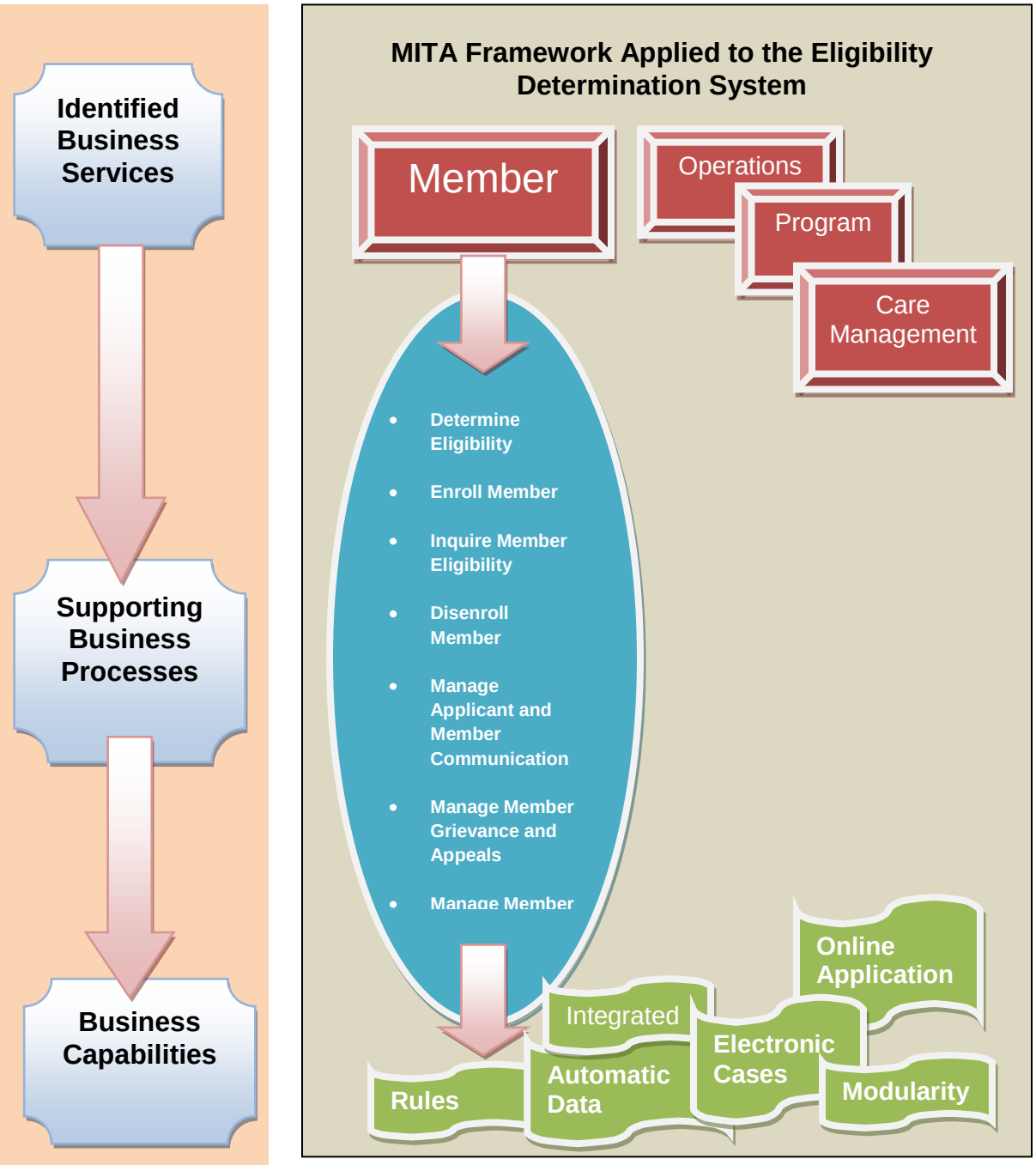


Figure 7: Relationship of MITA to the Eligibility Determination System

It is expected that the new system will be developed as part of a SOA. Figure 8 provides a summary technical view of the overall strategy that is being considered, building on a SOA strategy.

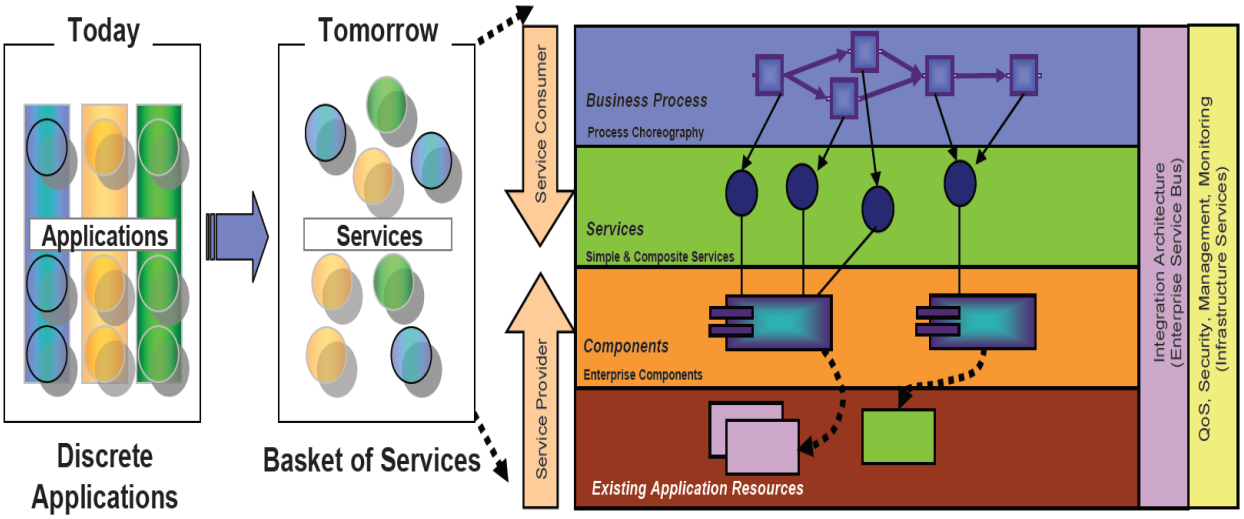


Figure 8: SOA Technical Strategy

Modularity also helps address the challenges of customization. Baseline web services and capabilities can be developed for and used by anyone, with exceptions for specific business processes handled by a separate module that interoperates with the baseline modules. With modularity, changes can be made independently to the baseline capabilities without affecting how the extension works. By doing so, the design ensures that future iterations of software can be deployed without breaking custom functionality.

Use Systems Development Lifecycle Methodologies

The Agency wishes to allow each potential vendor to bring to this development effort its industry-best-practice system development methodologies and tailor them to the Agency's needs. To encourage this and to foster the adoption of an integrated development approach, the Agency plans to rely on the evaluation of proposal methodologies to see how the deliverables and practices of these methodologies meet industry standard system and software engineering principles. The Agency believes industry standard life cycle principles can be found in any development approach. It hopes that by adopting this approach, it will encourage innovation and agility while preserving its desired development outcomes. At a minimum the Agency is expecting the Vendor's lifecycle development approach to use the CMS Guidance for Exchange and Medicaid Information Technology (IT) Systems v 2.0 and higher. Within the life cycle, the Agency will encourage vendors to identify items of risk and introduce them as early as possible. The "risk forward" approach may involve development or prototyping of high risk items as soon as the project starts.

The Agency's goal is to benefit from an iterative or agile based development approach focused on the delivery of working components generally, while retaining the ability to address high risk items with a greater level of process discipline when needed. This approach is preferred due to the perceived need to respond and support rapid business changes that are forthcoming. The

Agency will require from the Vendor a system development life cycle which can accommodate all these needs while balancing agility and traditional process discipline.

Emphasize Open Interfaces

The flexibility of open interfaces and exposed APIs as components for the service layer as set forth in the standards and conditions is a mandatory system component. Alabama has already identified all interfaces and has developed an Interface Control Document (ICD) based on the template provided by CMS. The ICD can be found in the Procurement Library.

This ICD will be the source of all details for interfaces to be developed. The Agency would like to re-emphasize that with the implementation of ACA that some of the interfaces may be integrated into a data service hub at CMS and it will not be necessary for the Agency to maintain separate interfaces. The list developed to date serves as a source or checkpoint to ascertain there will be no gaps. Requirements have been written in support of these interfaces and they are to be designed to be automatic upon defined trigger points and not require initiation by the user. Data security and HIPAA transactions are included in the requirements.

As mentioned in section 1.2.3.2 above, AMAES interfaces with numerous systems both internal and external to the Agency. As a result of the ACA and the future implementation of the Health Benefits Exchange, the number and type of interfaces to be implemented with the new Eligibility Determination System will be dependent of the development of a Data Services Hub (the Hub) by the federal government for Health Benefits Exchanges. The Hub will provide a centralized approach to accessing and sharing information across federal agencies to support the Exchange. The Hub is to streamline and simplify information flows between states and federal agencies to support Exchange operations. The Hub provides an opportunity for federal agencies and states to collaborate in defining SOA services to support the data exchange requirements needed by all Exchanges. The Hub will provide a single interface to the states that supports the verification of information as well as the exchange of information with all of the federal partners as deemed appropriate.

As a result of the future development of the Hub and the need for the Eligibility Determination System to integrate seamlessly with the Exchange in support of interoperability, it is envisioned that data received from the Hub would be available to the Agency thereby eliminating the need for the numerous interfaces originally identified. The following table lists the RS current interfaces and potential future interfaces of the Eligibility Determination System and includes the name of the agency with which the interface occurs, interface name, nature of the interface (interagency, intra agency, interstate, etc.), frequency of the data exchange, and whether or not the data is sent, received, or is a two-way interface. The Vendor shall consider in their proposal that this is the maximum number of potential interfaces and evaluate the future impact of a Hub and the efficiencies it will offer. Other interfaces will use such functionality as an enterprise service bus or other interoperability requirements established by the Exchange.

An asterisk beside the interface name indicates the Interface currently exists. Currently, most interfaces are batch or files placed on the mainframe for retrieval by other agencies. In many instances it is indicated that the data exchange in the future will be online/real-time/batch. This designation allows opportunity to evaluate the feasibility of smaller agencies and programs

having web access through specially designed web pages to enter their information for eligibility determination and/or updates, e.g., Catholic Social Services for Refugee Assistance Medicaid.

Table 10: Current and Future Interfaces

Source / Target	Department / Agency	Interface Name	Send and/or Receive	Data Exchange (Future)
Inter-Agency State Interfaces	DHR (Department of Human Resources)	TANF (Title IV-A)*	Send/Receive	Online/Real-time
		ALECS (Title IV-D Child Support)*	Send/Receive	Online/Real-time/Direct Inquiry
		SNAP (Food Stamps)*	Send/Receive	Online/Real-time
		FACETS*	Send/Receive	Online/Real-time
		SACWIS*	Send/Receive	Online/Real-time
		HIPAA 270/271*	Send/Receive	Batch
		EV13*	Send	Online/Real-time
	DPH (Department of Public Health)	CHIP (Children's Health Insurance Program) ALLKids*	Send/Receive	Online/Real-time/Batch
		Vital Events*	Send/Receive	Online/Real-time/Batch
		SVES Requests*	Send/Receive	Batch
		SVES Responses*	Receive	Batch
		HIPAA 270/271*	Send/Receive	Batch
		Plan First Waivers*	Send/Receive	Batch and Online/Real-time
		Newborn File from DPH*	Receive	Real-Time/Batch
		Breast and Cervical Cancer Program	Send/Receive	Batch and Online/Real-time
		MSIS Data (CHIP) for submission to CMS	Receive	Batch
		Waiver Files (E&D and HIV)*	Send	Batch and Online/Real-time
	DMH (Department of Mental Health)	Waiver File (Intellectual Disabilities)*	Send	Batch and Online/Real-time
		HIPAA 270/271*	Send/Receive	Batch
	DRS (Department of Rehabilitation Services)	HIPAA 270/271*	Send/Receive	Batch
		Waiver File (SAIL)*	Send	Real-time/Batch
	DIR (Department of Industrial Relations)	State Directory of New Hire Database	Send/Receive	Online/Real-time/Batch
		Wages	Send/Receive	Online/Real-time/Batch
		Worker's Compensation	Send/Receive	Online/Real-

Source / Target	Department / Agency	Interface Name	Send and/or Receive	Data Exchange (Future)
				time/Batch
		Unemployment Compensation	Send/Receive	Online/Real-time/Batch
	Revenue Department	Wages	Send/Receive	Online/Real-time/Batch
	Administrative Office of Courts	Administrative Office of Courts	Send/Receive	Online/Real-time/Batch
	DOC (Department of Corrections)	DOC (Department of Corrections)	Send/Receive	Online/Real-time/Batch
	Retirement Systems of Alabama	Teachers, State, and Judicial Employees	Send/Receive	Online/Real-time
	Department of Youth Services (DYS)	DYS Children in State Custody (Eligible for SOBRA)	Send/Receive	Online/Real-time Online/Real-time/Batch
	MyAlabama.gov	MyAlabama.gov	Send/Receive	Online/Real-time
	Department of Senior Services	Waiver files (E&D)*	Send/Receive	Online/Real-time
	Alabama Department of Insurance, Medicaid, CHIP, public/private health plans and other HHS programs Alabama Insurance Exchange	Health Benefit Exchange Transmission of Enrollment Information	Send/Receive	Use existing HIPAA transaction standards ASC X12N 834, ASC X12N 270, and ASC X12N 271. If necessary, use new standards,
	Education Institutions	Based on Contract and Data sharing Agreements*	Send/Receive	Batch
Federal Agencies	SSA (Social Security Administration)	SOLQ (State Online Query)	Send/Receive	Online/Real-time
		SVES (State Verification Exchange System)*	Send/Receive	Batch – Daily
		8019*	Receive	Batch – TBD
		LIS (Low Income Subsidy)*	Receive	Batch
		BENDEX (Beneficiary Earnings Data Exchange)*	Send/Receive	Batch – TBD
		BEERS	Send/Receive	Online/Real-time/Batch
		SDX (State Data Exchange)*	Receive	Batch
		PICKLE*	Receive	Batch
		503 LEAD File*	Receive	Batch - Annual
	CMS (Centers for Medicare & Medicaid Services)	PERM (Payment Error Rate Measurement)*	Send	Batch – TBD
		Buy-in*	Send/Receive	Real-time/Batch

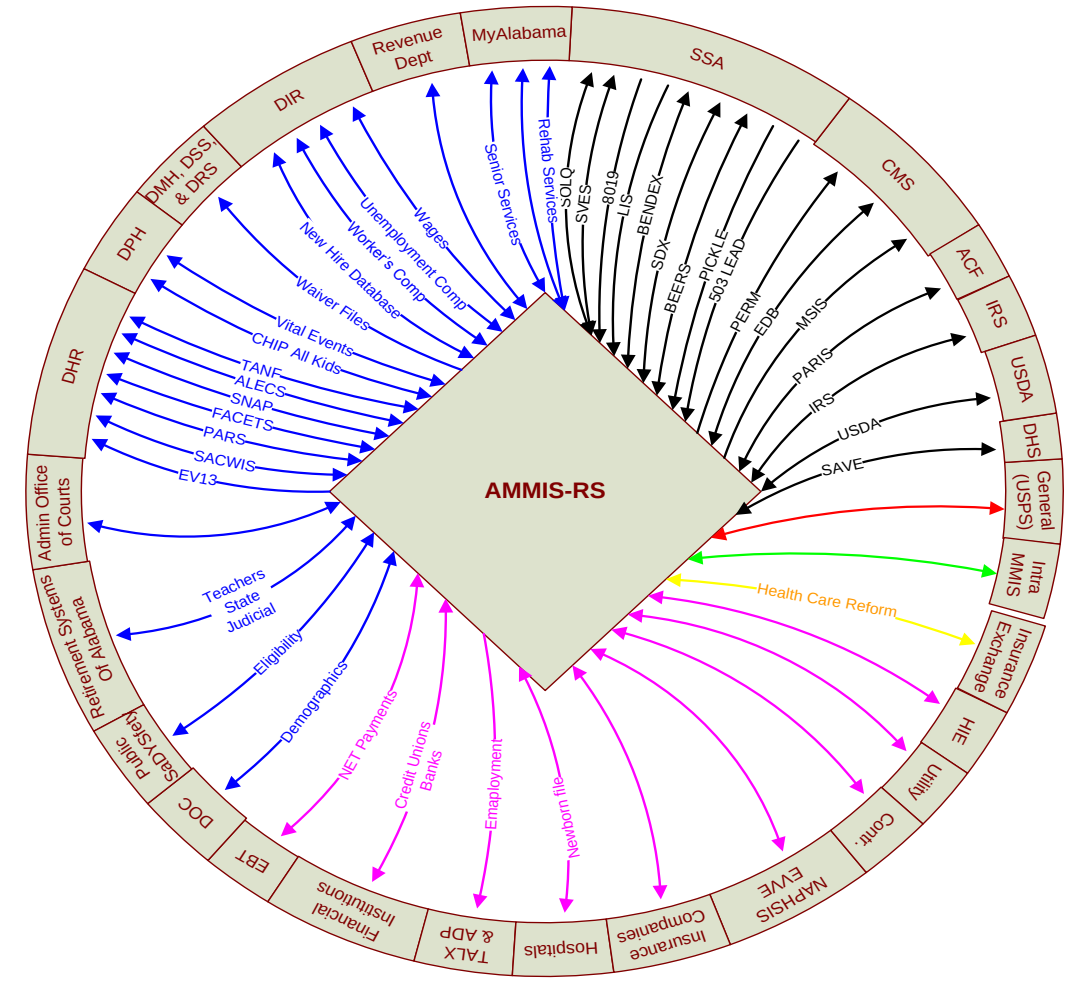
Source / Target	Department / Agency	Interface Name	Send and/or Receive	Data Exchange (Future)
		EDB (Medicare Enrollment Database)*	Send/Receive	Real-time/Batch
		MSIS (Medicaid Statistical Information System)*	Send	Batch – Quarterly
		Medicare Modernization Act (MMA Part D) *	Send/Receive	Batch Real-time
		Data Services Hub	Send/Receive	Batch Real-time
	ACF (Administrative of Children and Families)	PARIS (Public Assistance Reporting Information System)*	Send/Receive	Online/Real-time/Batch
	DHS (Department of Homeland Security)	SAVE (Systematic Alien Verification for Entitlement)*	Send/Receive	Online/Real-time
	IRS (Internal Revenue Service)	Federal Tax Information (FTI)*	Send/Receive	Online/Real-time/Batch
	USDA (US Department of Agriculture)	USDA (US Department of Agriculture)	Send/Receive	Online/Real-time/Batch
	USPS	NCOA and U.S. Postal Service Address Standardization API	Send/Receive	Online/Real-time/Batch
	Veteran's Administration	Veteran's Administration	Send/Receive	Online/Real-time/Batch
Private Entity Interfaces	Financial Institutions	Credit Unions and Banks	Send/Receive	Online/Real-time
	TALX/The Work Number	TALX	Send/Receive	Online/Real-time
	ADP	ADP	Send/Receive	Online/Real-time
	Insurance Companies	Insurance Companies	Send/Receive	Online/Real-time
	Catholic Social Services	Refugee Assistance Medicaid	Send/Receive	Online/Real-time/Batch
	Hospitals	Newborn Information	Send/Receive	Online/Real-time/Batch
	NAPHSIS (National Association for Public Health Statistics and Information Systems	EVVE (Electronic Verification of Vital Events)	Send/Receive	Online/Real-time
	Utility Organizations	Lifeline Link-Up, PSC, Individual Phone Companies, Other Utilities	Send/Receive	Online/Real-time
	Medicaid Contractors	Medicaid Contractors based on program needs	Send/Receive	Online/Real-time/Batch
	Statewide HIE (Health Information Exchange)	Statewide HIE (Health Information Exchange)	Send/Receive	Online/Real-time

Source / Target	Department / Agency	Interface Name	Send and/or Receive	Data Exchange (Future)
	Healthcare Service Institutions	Based on Individual Contracts and Data Sharing Agreements	Send/Receive	Batch
Intra-Agency Interfaces	Alabama MMIS (HPES)	Nightly, Monthly, and Yearly AMAES Extract to HPES, including demographic, eligibility, retroactive eligibility, patient liabilities, exemptions from waivers, and other data needed for claims processing, assignment to or exemption from Managed Care plans, financial eligibility for LTC, etc. *	Send	Real-time/Batch
Intra-Agency Interfaces	Continued - Alabama MMIS (HPES)	Nightly Extract from HPES to AMAES, including data on assignments to Managed Care plans, LTC, EPSDT, Lock-in, and TPL data.*	Receive	Real-time/Batch
		Weekly Extract from AMAES to HPES for DSS*	Send	Real-time/Batch
		Monthly Reconciliation File from HPES to AMAES*	Receive	Real-time/Batch
		Monthly dual eligibles to HP*	Send	Real-time/Batch
		Monthly NET DSS file to HP*	Send	Real-time/Batch
		Nightly File from HPES to Agency Reporting Plastic Card Updates Made by the RCC from requests via the Recipient Web Portal*	Receive	Real-time/Batch
		Nightly File from HPES to Agency Reporting Changes to Email Addresses by recipient using the Recipient Web*	Receive	Real-time/Batch
		Nightly File from HPES to Agency Reporting Form-295 changes Made by the RCC from requests via the Recipient Web Portal*	Receive	Real-time/Batch

Source / Target	Department / Agency	Interface Name	Send and/or Receive	Data Exchange (Future)
Intra-Agency Interfaces	Continued - Alabama MMIS (HPES)	Nightly File from HPES to Agency containing Form-295 Changes reported via the Recipient Web Portal (that cannot be updated by RCC).*	Receive	Real-time/Batch
		Monthly TPL Insurance Policy extract file from HPES *	Receive	Monthly (Batch)
		Month-End Claims is used to update unborns and Sterilization indicators*	Receive	Monthly (Batch)
		Nightly file of NCOA updates of SOBRA address changes under 23 characters*	Receive	Real-time/Batch
		Nightly file of NCOA updates of all address changes*	Receive	Real-time/Batch
		Managed Care data for MSIS reporting*	Receive	Real-time/Batch
		TPL data for MSIS reporting*	Receive	Real-time/Batch
		EDB*	Send	Real-time/Batch
		ALECS response file (picked up on mainframe and sent to HP)*	Send	Real-time/Batch
Local Public Entity	Tax Assessor	Tax Assessor	Send/Receive	Online/Real-time

Figure 9 illustrates some of the same information included in table above such as the name of the agency with which the interface occurs, nature of the interface (interagency, intra-agency, interstate, etc.) and shows whether or not the data is sent, received, or is a two-way interface.

Recipient Subsystem Interface Wheel



Interface Legend:

- Federal Agencies
- Inter-Agency Interfaces
- General
- Private Entity Interfaces
- Intra-Agency Interfaces
- Insurance Exchange – Health Care Reform

Figure 9: Recipient Subsystem Interfaces Diagram

Utilize a Rules Engine

The Eligibility Determination System shall use a business rules engine and separate business rules from core programming. The Agency has invested in the InRule rules engine software and would prefer to leverage this in the eligibility determination system solution; however will consider other alternatives depending on the applicability of the solution.

The Agency requires business rules in both human and machine readable formats in order to submit to the HHS-designated repository in human-readable form so as to be made available to other states and to the public. These rules shall be ready for distribution by January 2013.

3.3.1.2 Align and Advance in MITA Maturity

MITA is an initiative of CMS, aligned with the National Health Infrastructure Initiative (NHII), and intended to foster integrated business and information technology transformation across the Medicaid domain to improve the administration of the Medicaid program. The MITA objectives are specifically to:

- Adopt data and industry standards
- Promote secure data exchange
- Promote reusable components through standard interfaces and modularity
- Promote efficient and effective data sharing to meet stakeholder needs
- Provide a customer-centric focus
- Support interoperability and integration using open architecture and data standards
- Support integration of clinical and administrative data to enable better decision making a
- Break down artificial boundaries between systems, geography, and funding (within the Medicaid program)

The overall MITA initiative reaches well beyond the scope of the Eligibility Determination System, but the system plays a critical role in the Agency's ability to successfully implement and achieve the goals of MITA. MITA aims to incorporate many relevant standards into an architecture model that will be used to build and enhance Medicaid healthcare systems as well as the data exchange between system components and drive system design from a business and customer-centric perspective across the Medicaid enterprise.

MITA is a planning tool intended to support proactive, modular approaches to planning improvements to both the program and the supporting systems. The Agency intends to use this tool in the design and development of the new Eligibility Determination System.

<u>MITA SS-A and Roadmap</u>

The Agency completed the MITA 2.01 SS-A in January 2010 and has plans to update its self-assessment as soon as possible upon the release of version 3.0. Appendix D identifies the To Be goals within these three timeline descriptions for each of the individual processes within Member Management Business Service. These goals form the basis of the Roadmap projects.

These projects will enhance the State's ability to improve efficiency and services for its stakeholders consistent with MITA principles. It is anticipated that with the implementation of the new eligibility system that the Agency will meet level 3 requirements for Eligibility and Enrollment business areas. This roadmap will be reviewed and updated annually, at a minimum, to review progress, as well as to update changes that will inevitably occur. The Agency plans to continue the reengineering of business processes along the MITA continuum.

Figure 10 depicts the MITA Business and Technical Architecture surrounding the Eligibility & Enrollment business service:

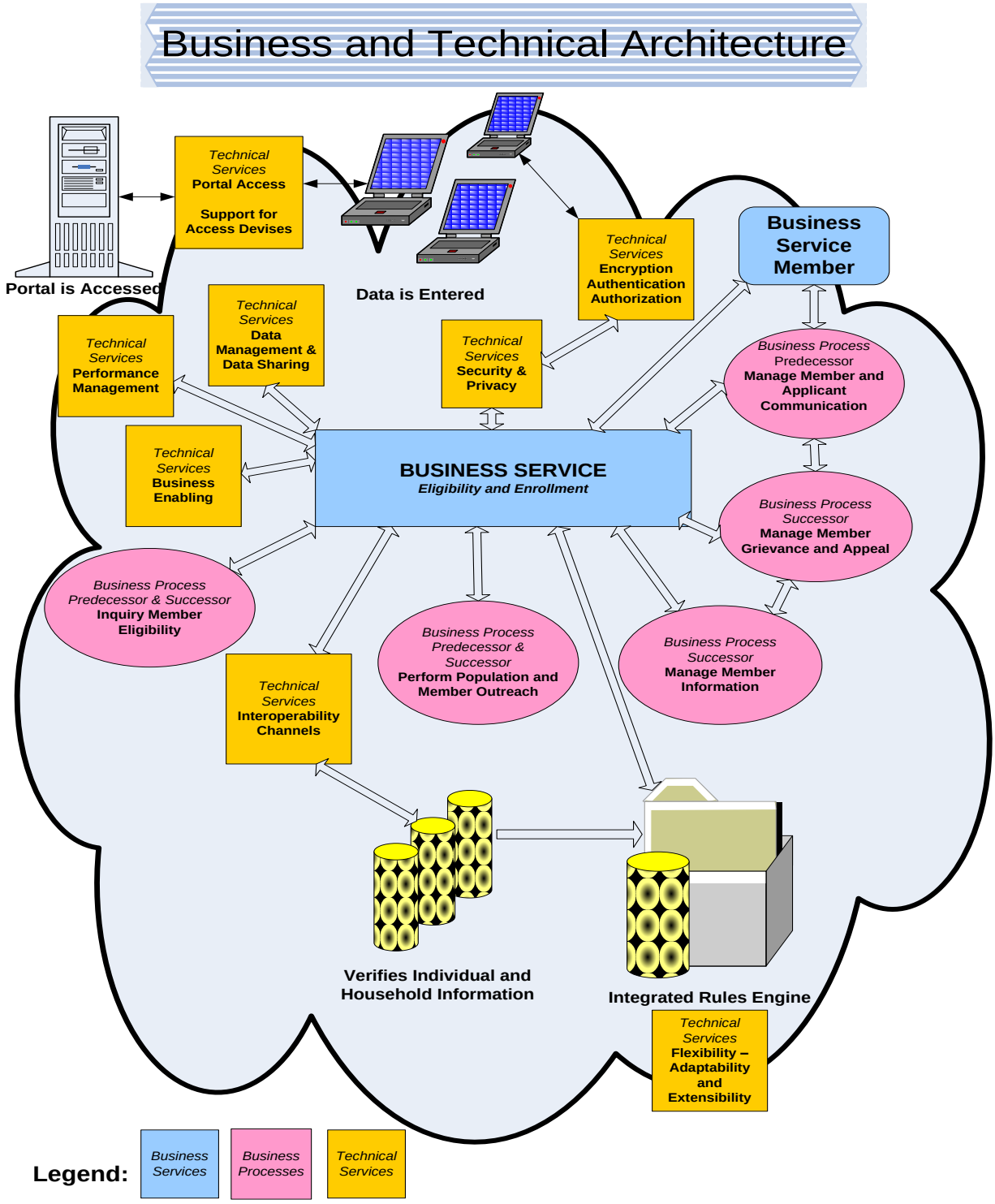


Figure 10: Business and Technical Architecture

Concept of Operations (COO) and Business Process Models (BPMs)

The Agency has already established As Is and To Be operational and business workflows. Samples of these can be found in Appendix D. The purpose of these workflows is to continually streamline and standardize the business processes surrounding the eligibility determination system. The Agency will be continuing to work on aligning these business work flows as additional guidance is received from CMS.

As indicated previously, the MITA SS-A has ranked the processes surrounding the eligibility and enrollment system at a ML 1. The Vendor shall demonstrate how its solution will improve the maturity ranking. Current SS-A business process information is in Appendix C.

Each Vendor is required to respond to the following questions as part of its proposal in TAB 5 (see section 5.2.2.10 for details on TAB 5) Proposed Solution:

1. Describe any collaborative efforts your organization or staff members have been involved in to advance MITA initiatives. What role has your organization or members of your organization played in those collaborative efforts?
2. What investments has your organization taken in planning efforts to implement a MITA-aligned solution?
3. Discuss the MITA maturity level the Agency can expect to achieve with the proposed solution.

3.3.1.3 Meet Industry Standards

Identification of Industry Standards

The Agency wants assurance that the new eligibility determination system aligns with, and incorporates industry standards including:

- The HIPAA security, privacy, and transaction standards
    - MITA supports facilitating automation where possible, and promotes using standards when developing and building automated processes. This is most apparent as MITA work efforts continue to move forward with developing standard data elements, file layouts, and other processes for efficient and effective data exchange to occur. Although such standards are not yet fully developed through the MITA initiative, the Vendor must use existing standards such as HIPAA compliant eligibility transactions and be prepared to utilize new standards once available.
    - 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 including production of a Section 508 Product Assessment Package as part of their System Development Life Cycle (SDLC)All products and services provided or developed as part of fulfilling this contract shall conform to Section 508 of the Rehabilitation Act of 1973 and any

amendments thereto, (29 U.S.C. & 794d), and its implementing Electronic and Information Technology Accessibility Standards (36 CFR § 1194). Section 508 requires that electronic and information technology is accessible to people with disabilities, including employees and members of the public. Information regarding accessibility under Section 508 is available at http://www.section508.gov/, and a technical assistance document can be found at http://www.access-board.gov/sec508/guide/. Compliance testing will be required.

- Websites, web services, and web applications shall be accessible to and usable by individuals with disabilities. This means that any websites, web services, and/or web applications developed in the fulfillment of this contract — including but not limited to: ((a) any web-based training material, user documentation, reference material, or other communications materials intended for public or internal use related to the work completed under this contract; and (b) any updates, new releases, versions, upgrades, improvements, bug fixes, patches, customizations, or other modifications to the above — shall comply with *Alabama Information Technology Standard 1210-00S2*: Universal Accessibility. For additional reference, supporting information for implementing IT Standard 1210 can be found at http://isd.alabama.gov/Policy/Standard_1210-00S2_Universal_Accessibility.pdf

- Affirmation of Conformance: The vendor shall provide a description of conformance with the above mentioned specifications by means of a completed Voluntary Product Accessibility Template (VPAT) or other comparable document (VPAT information is available at http://www.itic.org/index.php?src=gendocs&ref=vpat&category=resources A VPAT is only necessary when the Vendor is using pre-existing (off the shelf) software. This conformance claim becomes a contractual term between the contractor and the Agency.

- Standards adopted by the Secretary under section 1104 of the ACA
- Standards and protocols adopted by the Secretary under section 1561 of the ACA
- The National Information Exchange Model (NIEM) and unified form to develop, disseminate, and support standards and processes that enable the consistent, efficient and transparent exchange of data elements between programs and states
- National Institute of Standards and Technology (NIST) security guidance and other standards as appropriate
- Section 6103 of the Internal Revenue Code
- Additional standards identified by CMS

Industry standards promote reuse, data exchange, and reduction of administrative burden on patients, providers, and applicants.

The Agency has identified standards relevant to the scope and purpose of the development of the Eligibility Determination System project and has included the list in the RFP as well as copies of all standards in the Procurement Library (Appendix F). The selected vendor shall produce development and testing plans to ensure full compliance to these standards and have risk and mitigation strategies in place to address potential failures to comply.

Incorporation of industry standards in requirements, development, and testing phases

The Vendor will implement practices and procedures for the system development phases such as requirements analysis, system testing, and user acceptance testing (UAT). Plans must ensure that all systems comply fully and on-time with all industry standards adopted by the Secretary of HHS.

3.3.1.4 Leverage Other State Systems

Reuse of efforts

Wherever possible, the new Eligibility Determination System shall leverage and reuse technologies and systems from within the State of Alabama and other states. The Agency acknowledges that it can benefit substantially from the experience and investments of other states through the reuse of components and technologies already developed, consistent with a SOA, from publicly available or commercially sold components and products, and from the use of cloud technologies to share infrastructure and applications.

In developing the web interface, Vendors shall look at leveraging developments from the UX 2014 group to whatever extent possible.

The Vendor shall identify what solutions are to be leveraged and used in the Eligibility Determination System.

Identification of open source, cloud-based and commercial products

The Agency would prefer a service-based and cloud-first strategy for its solution. Vendors are encouraged to provide solutions incorporating commercially or publicly available off-the-shelf or open source solutions, and discuss considerations and plans for cloud computing. Vendors shall identify any ground-up development activity within their solution and why this approach has been proposed.

Customization

The Agency prefers a solution requiring as little customization as possible while still meeting all the requirements identified. Once a solution is identified it is expected that the vendor will perform a gap analysis and identify gaps between the requirements and the solution.

Transition and retirement plans

The Agency is already in the process of identifying duplicative systems through collaboration with the Exchange efforts. One of the goals of this collaborative effort is to build upon existing public and private sector resources and capabilities to the greatest extent possible.

As a result of this goal the following recommendation has been made, through the planning efforts of the Exchange, which will possibly lead to the retirement of multiple web sites:

"Alabama's Exchange planning and implementation team should establish a Web portal and business processes workgroup charged with detailing the specifications for all of the functionality and business requirements for the Exchange. Since the State has established a Web-based application for its Medicaid and ALLKids programs --an application that is maintained by the DPH -- Alabama should be able to leverage some of its existing Web-based applications and functionality to serve the Exchange. This should also include efforts to incorporate myalabama.gov into future plans."

3.3.1.5 Improve Business Results

Degree of Automation

Alabama seeks the highest degree of automation possible and has documented this need throughout the requirements. Not only is automation for eligibility documented but also for workflow, notice generation, redeterminations and worker alerts. It is only through this high degree of automation can one achieve efficiencies and accuracy.

Customer Service

The Agency has continuously sought to improve customer service through the establishment of customer service centers, web applications, and a call center. The Agency will be furthering its efforts with the new system that will allow customers to access information regarding their accounts through a web portal.

The Agency has also documented several requirements regarding preferred methods of communications. For example:

- The system shall allow the customer to enter in email addresses into the system
- The system shall allow the customer to enter in fax numbers
- The system shall provide the functionality to automatically generate notices by mail, email, phone, or fax
- The system shall provide capability to electronically generate scheduling, call and appointment notices to families and individuals (such as email, web portal communications, and system-generated letters)

Performance Standards

The Vendor will conform to performance standards, where applicable, in regard to the eligibility transactions and communications with applicants and members. The Agency has identified several different performance standards for program improvement and these will undergo testing during the SDLC. If unable to meet system performance standards established by CMS, the Agency will create and execute a Plan of Action to execute and correct. The Agency expects

the Vendor, if applicable, to identify what criteria or performance standards that their solution currently meets or exceeds.

3.3.1.6 Incorporate Reporting Conditions

Alabama has identified robust requirements to produce transaction data, reports, and performance information through the use of dashboards, and ad hoc reporting.

3.3.1.7 Be Interoperable

The Vendor shall ensure the new Eligibility Determination System seamlessly coordinates and integrates with the Exchange and allows interoperability with HIEs, public health agencies, human services programs, and community organizations providing outreach and enrollment assistance services. At this point in time, the responsibility of the Exchange falls under the auspices of the DOI. The Agency and the Vendor will work closely with the DOI to share business services and technology investments in order to produce seamless and efficient customer experiences.

The Eligibility Determination System will be built with the appropriate architecture and using standardized messaging and communication protocols in order to preserve the ability to efficiently, effectively, and appropriately exchange data with other participants in the HHS enterprise. The Vendor assumes responsibility for knowing and understanding the Agency's environment (data, applications, and infrastructure) in order to map its data to information-sharing requirements. The data-sharing architecture will address the conceptual and logical mechanisms used for data sharing and will also address data semantics, data harmonization strategies, shared-data ownership, security and privacy implications of shared data, and the quality of shared data.

<u>Interactions with the CHIP Program</u>

Alabama Medicaid already has an established relationship with the Alabama Department of Public Health ALLKids program (Alabama's CHIP program). The two agencies have worked together on a combined web application. The use of the DPH web site and a shared application is one of the few examples of automated receipt of eligibility application information for the Medicaid Agency. This established relationship will be used as the basis for moving forward to integrate the two eligibility systems.

<u>Interactions with the Exchange</u>

As indicated previously, the Vendor will ensure that open interfaces are established and maintained with any federal data services hub and that requests to the hub are prepared and available for submission immediately after successful completion of the application for eligibility. Communications between Exchange and the Agency's Eligibility Determination System will be adequately tested so that determinations and referrals can be effectively transmitted from the Exchange. In Alabama IT support is provided via ISD Shared services. This will support the objectives of this condition.

<u>Interactions with Other Entities</u>

Once the Exchange program gets under way there will be numerous opportunities for the various organizations to meet and share how the proposed systems development path will support interoperability with HIEs, public health agencies, and human services programs to promote effective customer service and better clinical management and health services to beneficiaries. Conversations will cover how eligibility systems will allow community service organizations to assist applicants seeking healthcare coverage to complete forms and to submit those forms electronically.

It is expected that other state agencies and programs will be able to take advantage of and potentially expand upon the architecture features of the Eligibility Determination System designed as a result of this procurement. With this overall objective in mind vendors shall describe how their proposed solution can facilitate meeting this objective.
Two key programs within the State that are opportunities for interoperability are:

HIE / HIT / HITECH

The Alabama Health Information Exchange (AHIE) Strategic/Operational Plan, developed by the AHIE Advisory Commission, details Alabama's "vision" and the operational details to support the "vision." This plan sets forth the actions necessary to establish HIE within the state and to connect to other state HIEs and Medicaid agencies, federal agencies, and the National Health Information Network (NHIN). From a consumer and provider operational view the vision is straightforward, simple, and understandable, "One Health Record" - Health Information Technology (HIT) to support healthcare and healthcare delivery transformation. From a technological, legal, and operational infrastructure outlook, the AHIE is standardized, interoperable, evolving, and inclusive. Planning for these changes in the Alabama healthcare environment have been taking place for years prior to the Federal Health Information Technology for Economic and Clinical Health (HITECH) Act.

The mission of the AHIE is to improve healthcare quality and efficiency of healthcare delivery in the state. The vision for the AHIE is to strengthen Alabama's healthcare system through the timely, secure, and authorized exchange of patient health information among healthcare providers that results in multiple views but one longitudinal patient record. The exchange of health information through the AHIE will support patient-centered healthcare and continuous improvements in access, quality outcomes, and efficiency of care.

The AHIE has the potential to significantly improve the quality and efficiency of care between Alabama and other states and within the state by providing the mechanism for providers, when appropriate and necessary, to access critical information about a patient when healthcare practitioners most need it – at the point of care. The AHIE will also provide the infrastructure to reduce the administrative burden imposed on healthcare practitioners, hospitals, nursing homes, and laboratories by State and Federal reporting requirements. State and Federal agencies currently require healthcare institutions to submit a myriad of public health surveillance information, healthcare quality and cost data. Ultimately, the goal is that through wider adoption of EHRs by practitioners and healthcare facilities and the ability to move information through the AHIE to public health agencies, reporting will be simpler and more efficient.

There are numerous programs being conducted with State and/or Federal funds within the State of Alabama that have the potential to support and/or impact the efforts of AHIE and the State's efforts to support the meaningful use of EHR information. A very conscious effort is made to identify and align HIE activities with these programs to eliminate redundant efforts and maximize financial and resource investments.

In addition to coordination within the state for Medicaid, AHIE is aligning its efforts through Alabama Medicaid with other states in the southeast region. Through the Southeast Regional Collaboration for HIT and HIE (SERCH), comprised of 11 states (Alabama, Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, South Carolina, Tennessee and Virginia), Alabama is looking for ways to leverage resources on areas such as consent models, DURSAs, collective bargaining for contracted services such as medication management, lab interfaces and the general sharing of knowledge. SERCH has been instrumental in bringing key issues to the forefront so that Alabama is addressing issues across state borders versus in a singular approach.

As part of its proposal, each vendor must specify how they would handle interfacing with the AHIE.

DPH – ALLKids

ALLKids (the Children's Health Insurance Program (CHIP)) is a low-cost, comprehensive healthcare coverage program for children under age 19 who live in Alabama administered by the Alabama DPH. Benefits include regular check-ups and immunizations, sick child doctor visits, prescriptions, vision and dental care, hospitalization, mental health and substance abuse services, and much more. ALLKids uses Blue Cross Blue Shield of Alabama (BCBSAL) to provide services through their preferred provider network.

The Agency has a close working relationship with the DPH. The Agency makes referrals to the ALLKids program when, in the course of its review efforts, it determines a child may more appropriately qualify for ALLKids than for Medicaid.

The Agency uses the common application that has been established with DPH for each of these programs, including SOBRA, MLIF, Plan First, a Family Planning Program, and ALLKids. This includes both the common paper application that have been developed and the new web-based application that the Agency and DPH have worked together to put in place. The use of the DPH website shared application for the Medicaid ALLKids program is one of the few examples of automated receipt of eligibility application information. This shall be considered as part of the new Eligibility Determination system.

The goal is to make the consumer's experience seamless with 'no wrong door'. This will be accomplished with integration between the two systems utilizing an enterprise service bus or other interoperable requirements established by the Exchange.

3.4 Vendor Requirements

The State is seeking a vendor that will be responsible for providing a complete software solution and all requested services required for a successful implementation, plus post-implementation

support, and possible long term operational support for the Eligibility Determination System. The Vendor may team with multiple firms in its proposal, but there can be only one Vendor that will execute the Contract expected to result from this RFP. This does not preclude the State from executing a separate contract with a Software Provider for software licenses and software maintenance. However, the Vendor shall be responsible contractually for all services, including those services performed by a sub-contracted Software Provider.

The Vendor will coordinate, integrate, and be accountable for all products and services proposed. This excludes an arrangement between vendors of joint venturing or joint response to this RFP as such arrangements will not be allowed. Generally the Vendor may only appear in one proposal submitted in response to this RFP. Subcontractors may be included in more than one proposal. Multiple submissions from a firm that is a Vendor in a proposal or submission of alternative proposals will be grounds for disqualification of such proposals.

This restriction does not apply to products or software. This means that a Software Provider may also offer its services as a Vendor, serving as its own integrator, and another Vendor can offer the same software in another proposal. In this latter case, the affected Software Provider cannot also serve as a Service Provider in any proposal other than the one in which it is the Vendor.

At the sole discretion of the State, submitting multiple proposals in different forms may result in the disqualification of all Vendors knowingly involved.

The Vendor shall demonstrate that their company has the relevant experience providing the services defined in this RFP, and that the staff proposed for positions on this Project has the appropriate knowledge and experience obtained on Projects of similar nature, size, and scope. The Agency may require substitution/replacement of any key personnel assigned to the Project if it determines that person does not possess the skills necessary to satisfactorily complete the tasks assigned.

The successful Vendor shall have a minimum of five prior years experience in the delivery of services on projects involving the design, development, and implementation of large systems. Experience preferably will be within the last five years, although earlier experience may be submitted if it demonstrates continuity of services over a broad span of years. The Vendor shall also include in this section any experience with Federal requirements for Medicaid programs and/or MMIS, or other Federal programs such as HIPAA, Food and Drug Administration (FDA), or related service areas.

Preference will be given to vendors with experience implementing the solution they are proposing. Preference will be given to vendors with experience implementing and operating eligibility determination systems in state government.

Vendors must provide an assurance that they have the staff to produce the Project deliverables. The Vendor will provide an organizational chart and staffing plan of the individuals proposed to work on this Project and provide resumes as detailed in Section 3.5.

3.5 Vendor Staffing Requirements

General Personnel Information

This subsection describes Vendor staffing requirements applicable to the Design, Development, and Implementation (DDI) task. These staffing requirements will cover the time period from Contract signing through CMS certification. The Vendor shall provide qualified staff necessary to provide DDI services required for the successful implementation of the Eligibility Determination System.

The Vendor's response to this RFP must include a staffing plan that details the organization of Project staff, location of Project staff (onsite or offsite), and clearly defines the strategy for managing communication between local and remote staff. The staffing plan must indicate staffing levels during all phases of the Project.

At a minimum, the Vendor will provide an Account Manager and Project Manager who will interact directly with the Agency's Recipient Subsystem Deputy Project Manager on a regular basis. The Project Manager will be expected to participate in weekly status meetings with the Agency's Recipient Subsystem Deputy Project Manager and project team members to include the IV&V and QA leads as well as various Agency subject matter experts.

It is strongly believed that a competency in sound project management principles is critical to the success of any project awarded by the State. Therefore, the successful Vendor will demonstrate a competency in this area, including project management methodology, supporting tools, and qualified resources. Vendors shall propose staff with experience in projects developing eligibility systems using SOA, SQL, and rules engines.

3.5.1 Organizational Structure

In this section, the proposal shall clearly describe the vendor's overall organizational structure and how the RS Modernization Project will fit into the existing organization of the company. The proposal shall also address how the vendor will utilize its existing staff throughout the term of the contract.

Each proposal shall also include:

1. A functional organization chart of the RS Modernization Project, showing main departments and number of staff members with their titles in these departments. The chart shall also provide total staffing and Full Time Equivalent (FTE) figures. If the Vendor's organizational structure should change for the different implementation phases, then please show the different organizations for each phase.
2. Position Descriptions for positions assigned to this project and the percentage of time these individuals will be dedicated to this contract.
3. A description of how the vendor's staff will work with Agency staff, both during the development and implementation phases, as well as during the stabilization period.

3.5.2 Staffing

The Vendor must provide staff to perform all tasks specified in this RFP. The Vendor 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 the vendor's proposal. In the event that the Vendor does not maintain a level of staffing sufficient to fully perform the functions, requirements, roles, and duties, the State may impose liquidated damages (see Section 6.9.1). Following is a list of items to be addressed in this section of the proposal:

1. The Vendor shall describe its staffing plan for the RS Modernization Project. The proposal shall outline how the staffing plan will achieve consistent, dependable service regardless of changes that may directly influence work volume.

2. The Vendor shall provide a general description of its proposed staff with number of years of experience in the IT field and number of years of experience in developing eligibility determination systems.

3. The vendor shall identify a minimum staffing level defined over time and maintain that defined minimum staffing level at all times during designated business hours.

4. Letters of commitment signed by the proposed PM and other key personnel stating their commitment to work for the Vendor/sub-contractor on this project contingent on award of the bid.

5. The Vendor staff shall be available after hours as required by the Agency Project Management.

6. Individuals in key positions may not be assigned new or additional contract assignments outside the State of Alabama contract, reassigned, replaced, or added during the project without the prior written consent of the Recipient Subsystem Project Manager.

7. The Agency shall have the right to approve or disapprove any key personnel assigned to the project (both primary Vendor and/or subcontractor personnel), to approve or disapprove any proposed changes in key personnel, or to require the removal or reassignment of any key personnel found unacceptable by the Agency. The Agency must approve, in advance, potential replacements for key staff. The Agency shall also be offered the opportunity to interview potential replacements for key staff by the Vendor.

8. The Vendor shall notify the Recipient Subsystem Project Manager in writing of any proposed change in key personnel at least 30 calendar days prior to the change or as soon as change is known. The Vendor shall have 30 calendar days in which to fill vacancies of key staff with another employee of acceptable technical experience and skills subject to prior written approval of the Agency, such approval not to be unreasonably withheld. Failure to fill vacancies of key staff with another employee of acceptable experience skills may result in damages as defined in Section 6.9.1. The

Vendor shall at all times maintain the performance standards and meet all functional requirements of the Contracts.

9. No Vendor initiated change in key personnel shall be approved until a replacement has been approved by the Agency.
10. Onsite facility space will be the responsibility of the Agency as explained in 2.1.2 above.
11. Each proposal must describe its back up personnel plan, including a discussion of the staffing contingency plan for:
    a. The process for replacement of personnel in the event of the loss of key personnel or other personnel before or after signing a contract.
    b. Allocation of additional resources to this contract in the event of inability to meet a performance standard.
    c. Replacement of staff with key qualifications and experience and new staff with similar qualifications and experience.
    d. Method of bringing replacements or additions up-to-date regarding the RS Modernization Project.

3.5.3 Key Personnel

This section identifies designated Key Personnel and certain other staff where specific requirements for the position must be met. Individuals filling designated Key Personnel positions must be approved by the Agency. Designated Key Personnel and their general responsibilities are listed below. All designated Key Personnel must be dedicated to the RS Modernization Project full time and may not serve in another position, unless otherwise noted. Bachelor degrees may be substituted with years of related experience upon Agency approval. The Vendor must provide a resume and three professional references for each of the following key personnel:

1. Account Manager– Assumes the duties of the Project Manager following CMS certification. Responsible for ensuring the overall operation of the Eligibility Determination System. The Account Director must have a Bachelor‘s Degree and at least five years experience in management.
2. Project Manager – Primary point of contact with the Agency’s Deputy Project Manager for activities related to contract administration, project management, scheduling, correspondence with the Agency, and deliverable reviews through the completion of implementation. The Agency requires that the Project Manager be assigned full time, for the duration of the DDI phase. The Project Manager shall have at a minimum the following qualifications:
    a. Bachelor’s Degree in a related field

b. Five years recent experience as project manager of substantive projects involving governmental data processing projects, implementation of a transfer system, Medicaid claims processing systems, or other eligibility systems.

c. Current certification as a Project Management Professional (PMP) by the Project Management Institute (PMI).

d. Recent, high level management in health and human service or social service systems environments, preferably with Medicaid systems or other similar large scale automated claims processing, eligibility, or benefit management systems.

e. Experience directing and successfully managing from start to finish information technology (IT) projects with aggressive timelines.

f. Previous experience with an MMIS or with major components of an operational MMIS, including experience with CMS Federal certification.

g. Familiarity with the technical architecture and functionality of the proposed base system.

h. Ability to facilitate a positive and collaborative working environment leading individuals to perform at high levels. Ability to drive negotiation and acceptance of changes within the project.

i. Ability to implement a successful communication plan. Demonstrated experience in establishing and maintaining clear mechanisms to communicate project status and change with the project team and project stakeholders.

j. Demonstrated experience overseeing the development and implementation of changes as necessary to ensure that projects remain within specified scope and are within time, cost, quality objectives, and meet the requirements.

k. A thorough knowledge of and experience with software development methodologies, and experience leading structured development activities for Medicaid eligibility, MMIS, and web based projects.

3. Deputy Project Manager – Serves as the backup for the Project Manager in his or her absence. May also serve in another position on the project. Must have a Bachelor‘s Degree and at least three years experience in IT Management.

4. Implementation Manager – Responsible for system integration, implementation, maintenance, and modification activities. The Implementation Manager must have a Bachelor‘s Degree and at least three years experience in IT Management.

5. System Architect – Responsible for the design, maintenance, procedures, and architecture related to data, program applications, and systems documentation. The System Architect must have a Bachelor‘s Degree in a relevant field and at least three years experience managing system architecture at the enterprise level. Must have experience in SOA-based system development of systems of similar size and complexity.

6. Business Architect – Responsible for the design, maintenance, procedures, and architecture related to business processes. The Business Architect must have a Bachelor's Degree in a relevant field and at least three years experience managing business architecture at the enterprise level.

7. Database Administrator – Responsible for design and maintenance of the Agency's database(s). Must have a Bachelor's degree in a relevant field and at least five years relevant database experience.

8. Data Conversion Manager – Responsible for conversion of all data. Must have a Bachelor's degree in a relevant field and at least three years data conversion experience.

9. Interface Manager – Responsible for all system interfaces. The Interface Manager must have a Bachelor's Degree and at least three years experience in IT Management.

Resumes

- Project Manager: The Vendor shall provide a resume not to exceed five pages in length for the Project Manager candidate that must address the stated minimum qualifications, the amount of time the candidate has been employed by the Vendor, and the following:
    - The individual's project management experience, including project type, size and scope of project types, project role, and duration of assignment
    - Medicaid related experience and experience managing any part of a Medicaid development project
    - Description of extent of familiarity with the proposed eligibility solution and ancillary processing systems
    - Education and training
- Other Key Personnel: The Vendor must provide a resume not to exceed three pages for each of the other key personnel on the project team. The Vendor is required to demonstrate that their Vendor(s) or employee(s) will have the skills necessary to meet the objectives of this project. Each resume must address at a minimum:
    - Proposed role on project
    - Education and training
    - The individual's project experience, including project type, project role and the duration of assignment
    - Recent relevant experience directly related to the key position for which the individual is proposed (include start and end dates)
    - Size and scope of projects supported
    - Description of extent of familiarity with the proposed eligibility solution and ancillary processing systems

  - Experience in the design, development, testing, and implementation of an MMIS, other medical claims processing or an eligibility system
  - Amount of time the individual has been employed by the Vendor
- Resumes for all key staff must include three references, including e-mail address and telephone number, with at least one client reference for an MMIS, eligibility or another system development project similar in size and scope to the RS Modernization Project. Resumes are necessary only for those positions that will be engaged from project inception. Those that arrive later will provide their resumes at that time. Resumes shall include the following information:

If any staff member from the Vendor's team requires special accommodations for a disability or work limitation, please note such in this section.

3.5.4 Other Personnel

The proposal shall also include a description of the numbers and types of other staff, including:

- Senior Systems Analysts
- System Engineers
- Senor Programmer / Analysts
- Programmer / Analysts
- Business Analysts
- Subject Matter Experts
- Reporting Specialists
- Technical Writers User Support Specialists
- Trainers, including Instructional Designers
- Clerical
- Other Staff

3.6 Vendor Location and Facility Requirements

The Agency requires a strong Vendor presence in Montgomery, Alabama until the system has been fully implemented and accepted following the "Final System Turnover Assessment" deliverable. The Agency requires that the Vendor maintain a facility within the city limits of Montgomery, Alabama in a location approved by the Agency. The Vendor shall provide adequate working space, conference space, and free parking at the local vendor site to accomplish all of the project tasks in an efficient and professional manner. Specifically, a large well-equipped conference room will be required to accommodate Agency users, consultant staff, and Vendor staff during meetings, training sessions, group product reviews, work sessions, test reviews, and other activities during the project.

The Vendor shall provide dedicated working space at the Vendor's local facility for up to eight Agency and consultant personnel. These personnel will be working on-site at the Vendor's facility approximately fifty percent to one hundred percent of full-time, depending on the project task. Minimum requirements for the State's work area are as follows:

- Two private offices with locking doors, with furniture and equipment appropriate for manager-level activities: file cabinet; desk; desk chair; desk lamp; two additional chairs; bookcase; white board; telephone; PC, data line; and connectivity to the Vendor's LAN, with gateway to the Agency's WAN
- Six partitioned work areas, each with furniture and equipment appropriate for professional staff: file cabinet, desk, desk chair, desk lamp, white board, telephone, PC's, data line, and WAN/LAN connection
- One conference room with space, table, and chairs for a minimum of 12 people, a large white board, conference phone, data line, and WAN/LAN connection necessary to carry out project management and monitoring activities
- One conference room with space, table, and chairs for a minimum of six people, a large white board, conference phone, data line, and WAN/LAN connection necessary to carry out project management and monitoring activities
- One fax machine with plain paper capability and automated to send or receive faxes unattended
- Access to a laser printer and copy machine with sorting, collating, and automatic feed capabilities
- A minimum of 10 free parking spaces reserved for Agency and consultant personnel

The Vendor facility shall be established immediately upon the start of the contract. The Vendor facility shall be secure from both a physical and data aspect. System back-up and storage plans shall be defined within 30 days of establishment of the Vendor site. Full connectivity between the Vendor facility and the Agency shall be established within 30 days of establishment of the Vendor site. Courier service to and from the Agency must be established and available for pickup and delivery twice a day if required by the tasks or phase of the project. Compliance with these minimum requirements is subject to review and approval by the Agency. This space shall be made available and maintained exclusively for Agency use for the duration of the contract.

The Project Manager and Deputy Project Manager are required to be onsite at the Vendor's facility, full time through the Final System Turnover Assessment. The Project Manager shall remain onsite until the system has been certified by CMS. The Implementation Manager will stay on the project until the end of the Warranty Period. Other Key Personnel shall be onsite through the Final System Turnover Assessment. Those individuals who work off-site must be available for onsite tasks when contact with the Agency is on-going, such as meetings.

A weekly Work Schedule will be posted on the project portal indicating individuals working for that week along with their location. The Vendor shall provide sufficient staff to cover the functional areas of data conversion, system testing, quality assurance, and other requirements of the RFP through the warranty period.

4 GENERAL ADMINISTRATIVE INFORMATION

4.1 Introduction

This Request for Proposal (RFP) provides prospective Vendors with sufficient information to enable them to prepare and submit proposals for consideration by the Alabama Medicaid Agency ("the Agency") to satisfy the need for expert assistance in the completion of the goals and requirements of this RFP. Instructions governing proposal submission and the material to be included therein, mandatory and other requirements, which shall be met, by the Vendor and their proposal in order to be eligible for consideration are included in this RFP.

The Awarded Vendor shall be solely responsible for the performance of all tasks, meeting all requirements and delivering all deliverables contained or identified within this RFP.

4.2 Issuing Office

This RFP is issued under the authority of the Code of Alabama, 1975, Section 41-16-20 through 41-16-72 of the Alabama code and 45 CFR 74.40 through 74.48. The RFP process is a procurement option allowing the award to be based on stated evaluation criteria. The RFP states the relative importance of all evaluation criteria. No other evaluation criteria, other than as outlined in the RFP, will be used. The Agency solicits sealed proposals to acquire the professional services of an application systems developer and/or systems integrator for design, development, and implementation (DDI) of a new Eligibility Determination System for the Agency.

4.3 Invitation to Submit Proposals

All interested Vendors are invited to submit a proposal in accordance with the rules, procedures and dates set forth herein.

In accordance with 45 CFR 74.43, the State encourages free and open competition among Vendors. Whenever possible, the State will design specifications, proposal requests, and conditions to accomplish this objective, consistent with the necessity to satisfy the State's need to procure technically sound, cost-effective services.

4.4 Inquiries

From the date this RFP is issued until a Vendor is selected and the selection is announced by the RS Project Manager, all communication must be directed to the Project Manager in charge of this solicitation. Unless otherwise noted, prospective Vendors may make written inquiries concerning this RFP to obtain clarification of requirements. **Telephone or fax inquiries will not be accepted.** No inquiries will be accepted after the deadline for questions as specified in the Table 1 Procurement Timetable in the Preface section of this RFP. Send all inquiries to:

Shannon Crane
Project Manager
Recipient Subsystem Modernization Project
Alabama Medicaid Agency
P. O. Box 5624
501 Dexter Avenue – Room 8026C
Montgomery, Alabama 36103-5624

We encourage the use of email. Email Address: shannon.crane@medicaid.alabama.gov

Vendors shall mark envelope/email subject line "RFP#: 2011-ELI-01".

Specific timelines for submitting questions and responses are identified in Table 1 Procurement Timetable. Questions submitted prior to specified deadlines will be responded to as quickly as possible within five work days.

Any attempt by a Vendor to contact any employee of the Alabama Medicaid Agency regarding this RFP prior to proposal award, other than as specified in this RFP, shall be deemed to be a violation of proposal requirements and shall result in the Vendor's proposal being rejected.

Vendors shall not rely on verbal statements that alter any specifications or other terms or conditions of the RFP.

4.5 Agency Proposal Questions and Contacts

Subsequent to the opening of the sealed proposals, discussions may be conducted by the Agency and the Project Manager of the Recipient Subsystem Modernization Project with Vendors for the purpose of clarification to assure full understanding of and responsiveness to the solicitation requirements. Vendors shall be accorded fair and equal treatment with respect to any opportunity for discussion. In conducting any such discussions, there shall be no disclosure of any information derived from proposals submitted by competing Vendors.

Any questions regarding solicitation requirements for this RFP must be written and submitted by the designated due date and time specified in Table 1 Procurement Timetable to the Project Manager of the Recipient Subsystem Modernization Project at the address shown above. Questions will not be addressed over the telephone. Responses to Vendor's questions shall be made available to all Vendors attending the Mandatory Pre-Proposal Conference on the date and time designated in Table 1 Procurement Timetable.

4.6 Addendum or Supplement to RFP

In the event that it becomes necessary to revise any part of this RFP before the mandatory Pre-Proposal conference, an addendum shall be provided to each Vendor who received the original RFP. In the event that it becomes necessary to revise any part of this RFP after the mandatory Pre-Proposal Conference, an addendum shall be provided to each Vendor who registered at the Pre-Proposal Conference.

4.7 Mandatory Pre-Proposal Conference

A mandatory Pre-Proposal Conference will be held on the date and time specified in the Table 1 *Procurement Timetable (refer to the Preface Procurement Timetable)*, at the Alabama Medicaid Agency 501 Dexter Avenue – Conference Room 8D Montgomery, Alabama. **Attendance at the Pre-Proposal Conference is mandatory for all Vendors who plan to submit proposals. A Vendor's failure to attend the Pre-Proposal Conference will cause their proposal to be rejected**. *Vendors who plan on attending the Pre-Proposal Conference must complete and return the Intent to Attend Pre-Proposal Conference Notification form found in Form C by the date listed in the Table 1 Procurement Timetable (refer to Preface –Procurement Timetable).*

The Pre-Proposal Conference is intended to be an interactive exchange of information. Since impromptu questions shall be permitted and spontaneous answers may be provided, Vendors shall clearly understand that oral answers given at the conference are not binding, but are good faith efforts to give correct useful information. No further questions will be permitted after the date specified in the Table 1 Procurement Timetable. Final and binding answers to all questions whether submitted via email or asked at the Pre-Proposal Conference will be distributed to all conference attendees on the date specified in the Table 1 Procurement Timetable. All answers to questions will be distributed by email to those Vendors in attendance of the Pre-Proposal Conference.

Answers to written questions received by the RS Project Manager before the Pre-Proposal Conference by the deadline specified in the Table 1 Procurement Timetable shall be distributed at the Pre-Proposal Conference. Prospective Vendors will be given time to review the written questions and answers during the Mandatory Pre-Proposal Conference. An opportunity will be given to ask questions to clarify any uncertainties that may exist.

4.8 Proposal Submission Requirements

This RFP contains numerous instructions governing proposal submission requirements and the material to be included therein. These are mandatory submission and proposal completion requirements that must be met to be eligible for consideration. Proposal responses shall be submitted consistent with the format and content specified in ***Section 5 – Proposal Response Format.***

Failure, in whole or in part, to respond to a specific mandatory requirement shall result in rejection of the Vendor's proposal as non-compliant with the RFP requirements during the evaluation process or at any time that such deficiency is discovered. The Agency at its sole discretion reserves the right to waive minor irregularities.

4.9 Proposal Prices

Vendor shall submit a firm and fixed price for the services described in the RFP. Vendor shall propose a price that reflects any business risk it perceives in the way the proposal specifications are stated. Vendor shall not anticipate nor rely on clarifications, discussions, redefinition, or further negotiations with the Agency after the contract award to adjust the price that is contained in its proposal for the work required by the RFP. Any efforts by a Vendor to limit, qualify, caveat, restrict, or place conditions upon the price being proposed shall be considered to be a violation

of the firm and fixed price submission requirement and shall result in the proposal being rejected as non-responsive.

4.10 Certification of Independent Price Determination

The following certifications must be provided by the Vendor:

- By submission of this proposal each Vendor certifies and in the case of a joint proposal each party thereto certifies as to its own organization that in connection with this procurement the following:
- The prices in this proposal have been arrived at independently, without consultation, communication, or agreement, for the purpose of restricting competition as to any material relating to such prices with any other Vendor or with any Competitor.
- Unless otherwise required by law, the prices which have been quoted in this RFP have not been knowingly disclosed by the Vendor and shall not knowingly be disclosed by the Vendor, directly or indirectly, to any other Vendor or to any competitor prior to opening.
- No attempt has been made or shall be made by the Vendor to induce any other person or firm to submit or not to submit a proposal for the purpose of restricting competition.
- Each person signing the proposal form certifies that:
- He/she is the person in the Vendor's organization responsible within that organization for the decision as to the prices being offered herein and that he/she has not participated, and shall not participate, in any action contrary to 1(a) through 1(c) above.
- He/she is not the person in the Vendor's organization for the decision as to the prices being offered herein but that he/she has been authorized in writing to act as agent for the person(s) responsible for such decision in certifying that such persons including said agents have not and shall not participate in any action contrary to 1(a) through 1(c) above.

4.11 Parent Company

If a Vendor is owned and controlled by a parent company, the main office address and parent company's tax identification number (TIN) shall be provided in the proposal response.

4.12 Vendor's Submission

Proposals must be received on or before the deadline in the Table 1 Procurement Timetable. Late proposals shall not be accepted. It is the responsibility of the Vendor to ensure that the proposal is received by the RS Project Manager in accordance with the Table 1 Procurement Timetable. The proposal, packaged in accordance with the Section 5, Proposal Response Format, shall be sent by mail to:

Shannon Crane
Recipient Subsystem Project Manager
Alabama Medicaid Agency
P. O. Box 5624
501 Dexter Avenue – Room 8026C
Montgomery, Alabama 36103-5624

Or, the Proposal may be delivered to:

Alabama Medicaid Agency
501 Dexter Avenue
Montgomery, Alabama 36103-5624
Attention: Shannon Crane – Room 8026C

The State of Alabama RFP Proposal Sheet must be signed in ink by the Vendor or other entity that is legally authorized to bind the Vendor to the proposal. ***The RFP Proposal Sheet must also be notarized***.

Proposals not meeting these requirements shall not be accepted.

The Agency desires and encourages that proposals be submitted on recycled paper, printed on both sides. While the appearance of proposals and professional presentation is important, the use of non-recyclable or non-recycled glossy paper is discouraged.

4.13 Public Opening of Proposals

A public opening of the proposal will be held as specified in the Table 1 Procurement Timetable, at the Alabama Medicaid Agency, Montgomery, Alabama. A register of proposals consisting of the names and addresses of Vendors will be prepared and made available for public inspection.

4.14 Oral Presentations

The Agency reserves the right to request oral presentations during the Evaluation Phase. The purpose of the oral presentation is to allow for interchange between the Vendor, Agency staff and the Evaluation Committee. It shall be the Agency's option to determine the schedule and format for oral presentations/demonstrations. Vendors will be notified in advance of the time and location and selected items of any such presentations. Oral presentations are at the option of the Agency and not all Vendors may be requested to present.

The oral presentations and demonstrations will provide an opportunity to 1) provide an overview of the merits of the Proposal, 2) answer questions raised by evaluators in the course of reviewing the Proposals, and 3) assist the Evaluation Committee in verifying the capabilities and functionality of the proposed system. The Evaluation Committee shall have the opportunity to ask for clarification of information in the proposal. No written supplementation of the proposal will be permitted. Responsiveness will be determined on the written proposal.

During the oral presentations, Vendors shall not discuss the merits or qualifications of other Vendors. Failure to observe this proposal requirement shall result in the proposal being rejected as non-compliant.

The Agency may, at its discretion, establish such procedures and rules of conduct as it may deem appropriate, and may enforce such procedures and rules of conduct. Failure to observe these procedures and rules of conduct shall result in the proposal being rejected as non-compliant.

4.15 Selection of Proposal

After review of the Evaluation Committee's recommendation for award, the Commissioner of the Alabama Medicaid Agency shall make the decision on award of contract. After selection is made, the Alabama Medicaid Agency shall issue a notice of award to the successful Vendor. Contract execution is contingent upon CMS approval of the award, review by the Legislative Contract Review Oversight Committee and approval by the Governor...

The Agency reserves the right to reject any and all proposals submitted in response to this RFP.

4.16 Granting of Contract

The contract awarded under this RFP will be made to the Vendor having the highest overall proposal evaluation score indicating value to the Medicaid Agency.

The Agency reserves the right to add provisions consistent with the successful Vendor's offer and to negotiate with the successful Vendor other additions to or deletions from, and/or changes in the language in the contract, provided that no such addition, deletion, or change in contract language shall alter the scope of work required and/or the evaluation criteria set forth herein. Additions to, deletions from and/or changes in language of the contracts shall not result in additional compensation over and above that proposal by the successful Vendor for the scope of work specified in the RFP, the amendments thereto, the written answers to questions or any clarifications requested by the Vendor during the evaluation process.

Prior to finalization of award, the selected Vendor may be required to enter into discussions with the Alabama Medicaid Agency to resolve any contractual differences before an award is made. These discussions must be finalized and all exceptions resolved within ten working days of notification of award; if not, the proposal will be rejected and discussions initiated with the Vendor having the next highest proposal evaluation score.

4.17 Acceptance of RFP Terms

A proposal submitted in response to this RFP shall constitute a binding proposal response. The provisions of this RFP and all attachments constitute contractual terms and conditions. These provisions, as amended, shall supersede any contradictory or inconsistent language in the successful Vendor's response. In the event of inconsistencies or contradictions between language contained in the RFP and a Vendor's response, the language contained in the RFP will prevail. If the State issue addenda to the original RFP, then said addenda, being more

recently issued, would prevail against both the original RFP and the Vendor's proposal in the event of an inconsistency, ambiguity, or conflict.

A submission in response to this RFP acknowledges acceptance by the Vendor of all terms and conditions, including performance and compensation, as set forth in this RFP. The Vendor, by signing the proposal sheet (Form E), certifies that it accepts all of the terms and conditions, including performance and compensation of this RFP in full, without reservations, limitations, assumptions, restrictions, caveats, or any other type of qualification. A response that fails to comply with this condition shall be disqualified as nonresponsive. Further, any amendment to this RFP shall be signed and returned with the proposal or the proposal shall not be considered.

All proposals become the property of the State of Alabama, and may not be returned to the Vendor. Only proposals that conform to the requirements of this solicitation shall be acceptable. The State reserves the right to reject any or all proposals. There is no guarantee that a contract shall result from this solicitation. The State accepts no obligation for costs incurred by any Vendor in the preparation of a proposal in response to this RFP.

4.18 Offer in Effect for 90 Days

A proposal may not be modified, withdrawn or canceled by the Vendor for a 90-day period following the deadline for proposal submission as defined in the Table 1 Procurement Timetable, or receipt of best and final offer, if required, and Vendor so agrees in submitting the proposal.

4.19 RFP Response Material Ownership

All products/services produced in response to the contracts resulting from this RFP, including the executed contracts, RFP, and any amendments thereto, shall be the sole property of the Agency. Vendor’s response to the RFP, the Agency’s written responses to prospective Vendors’ questions, and Vendor’s clarifications as requested by the Agency during the evaluation process shall become contractual obligations.

Proposal responses may be reviewed by contacting the Alabama Medicaid Agency, Office of General Counsel after the notice of award letter has been issued by the Alabama Medicaid Agency. Because all material will be available to the public, a second electronic copy of the proposal MUST have any confidential/proprietary information redacted. ”.

4.20 Incurring Costs

The State of Alabama is not liable for any cost incurred by Vendors prior to issuance of a legally executed contract.

4.21 Performance Bond

Please refer to *Section 6 – Contract Terms and Conditions*, *Section 6.5.8 – Performance Bond*.

4.22 Payment

The Agency will provide payment to the Vendor according to *Section 6 – Contract Terms and Conditions – Section 6.8 – Method of Payment and Invoicing.*

4.23 Vendor's Facility and Equipment Requirements

The Agency requires that the Vendor maintain a facility within the city limits of Montgomery, Alabama in a location approved by the Agency. The Vendor shall provide adequate working space, conference space, and free parking at the local vendor site to accomplish all of the project tasks in an efficient and professional manner. Specifically, a large well-equipped conference room will be required to accommodate Agency users, consultant staff, and Vendor staff during meetings, training sessions, group product reviews, work sessions, test reviews, and other activities during the project. Additional requirements can be found in section 3.6.

These facilities, equipment, and supplies that the Vendor provides for their staff are provided at the Vendor's expense and ***are not*** expenses chargeable to Medicaid as part of this RFP.

4.24 News Releases

News releases pertaining to this RFP shall not be made without prior written approval of the Agency.

4.25 State's Rights Reserved

While the State has every intention to award a contract as a result of this RFP, issuance of the RFP in no way constitutes a commitment by the State to award and execute a contract. Upon a determination such actions would be in its best interest, the State, in its sole discretion, reserves the right to:

- Cancel or terminate this RFP at any time, without penalty
- Reject any or all of the proposals submitted in response to this RFP
- Change its decision with respect to the selection and to select another proposal
- Waive any minor irregularity in an otherwise valid proposal which would not jeopardize the overall program and to award a contract on the basis of such a waiver (minor irregularities are those which will not have a significant adverse effect on overall project cost or performance)
- Negotiate with any Vendor whose proposal is within the competitive range with respect to technical plan and cost
- Adopt to its use all, or any part, of a Vendor's proposal and to use any idea or all ideas presented in a proposal
- Amend the RFP (amendments to the RFP will be made by written addendum issued by the State and will be posted on the RFP web site)
- Not award any contract

4.26 Disclaimer

All statistical and fiscal information contained in the RFP and its exhibits, including amendments and modifications thereto, reflect the best and 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.

5 PROPOSAL RESPONSE FORMAT

5.1 Introduction

This section describes the format and requirements for the Vendor's submission of their proposals. Vendors shall build their proposal responses according to the formats, requirements and the order of items as defined in each section below. Each Vendor's proposal response shall be divided into two parts as described in Section 5.2.1 Proposal Response General in addition to providing the required number of copies as specified in Section 5.2.2 Technical Response Format.

Disclaimer – Any information or discussion regarding a particular section of the proposal that is not included in that section may not be credited during the proposal evaluation; e.g. a description of the project management approach in the proposed solution will not be counted toward the project management points.

5.2 Proposal Submission Requirements

Sealed proposal packages shall be mailed to:

Alabama Medicaid Agency
P. O. Box 5624
501 Dexter Avenue - Room 8026C
Montgomery, Alabama 36103-5624
Attention: Shannon Crane

Or, deliver to:

Alabama Medicaid Agency
501 Dexter Avenue
Montgomery, Alabama 36103-5624
Attention: Shannon Crane – Room 8026C

Proposals submitted, in whole or in part, by modem or fax will be rejected. Late responses will not be accepted.

Proposals must be received by the Project Manager for the RS Modernization Project no later than the date and time specified in the Table 1 Procurement Timetable (see the Preface – Procurement Timetable). It is the responsibility of the Vendor to ensure the proposal is delivered by the time specified. Delays in mail delivery or any other means of transmittal shall not excuse late proposal submissions.

Proposals received after that time will not be considered. At the State's option, late proposals will be retained unopened in the file or will be destroyed at the State's expense. Alternatively, the Vendor may request that the late proposals be returned at the Vendor's expense.

Proposals received prior to the Proposal Submission date shall be kept secured and sealed until the official Proposal Opening date.

5.2.1 Proposal Response General

This document outlines the qualifications which must be met in order for an entity to serve as Vendor. It is imperative that potential Vendors describe, **in detail,** how they intend to approach the Statement of Work specified in Section 2 of this RFP. The ability to perform these services must be carefully documented, even if the Vendor has been or is currently participating in a Medicaid Program. Proposals will be evaluated based on the written information that is presented in the response. This requirement underscores the importance and the necessity of providing in-depth information in the proposal with all supporting documentation necessary.

The Vendor must demonstrate in the proposal a thorough working knowledge of program policy requirements as described herein, including but not limited to the applicable Operational Manuals, State Plan for Medical Assistance, Administrative Code, and Code of Federal Regulations (CFR) requirements.

Entities that are currently excluded under Federal and/or State laws from participation in Medicare/Medicaid or any State's healthcare programs are prohibited from submitting proposals.

The Proposal Response must present a complete and detailed description of the Vendor's qualifications to perform and its approach to carry out the requirements of this RFP. Any deviations in the Vendor's Proposal Response from the outline described could disqualify that proposal due to evaluation considerations.

Other requirements for the Proposal include the use of:

- 8.5 x 11-inch paper
- Font size of 11 points or larger shall be used, except in tables and charts where a font size of 10 points is acceptable
- Clearly page-numbered on the bottom (center or right) of each page
- Brochures or other presentations, beyond that sufficient to present a complete and effective response, are not desired. Audio and/or videotapes are not allowed. Elaborate artwork or expensive paper is not necessary or desired. While the appearance of proposals and professional presentation is important, the use of non-recyclable or non-recycled glossy paper is discouraged.

A maximum page limit has been set for some sections of the Proposal Response. Vendors are required to respect these page limits to facilitate a timely and responsive evaluation. Pages in excess of these limits will be removed during Phase II of the Proposal Evaluation Process in the evaluation of Mandatory Requirements.

Vendors must submit one original and 10 hard-copy versions of the Technical Proposal Response in binder form plus four electronic versions on Compact Disc (CD), jump drive, or disk. One electronic copy MUST be a complete version of the Vendor's Technical Proposal and the second electronic copy MUST have any confidential/proprietary information redacted.

Vendors must submit one original and one hard-copy version of the Cost Proposal in binder form plus two electronic versions on a separate CD from the Technical Proposal.

- All copies must be clearly labeled with the Vendor name. The original hard-copy version shall be identified as such and shall include the transmittal letter with the original signature; the Pricing Sheets, and the RFP proposal sheet (refer to Form E and Forms F through Form M). Electronic versions shall be submitted in MS Word 2007 or Adobe Portable Document Format (PDF) version 7 or higher.
- The original and each copy of the Vendor's proposal response package must be marked in accordance with the specifications below. Each proposal shall be submitted in two parts: 1) Technical Proposal and 2) Cost Proposal, the format and content of which are specified in the following subsections. Each part (Technical and Cost) shall be identified with the cover pages as provided in the following subsections.
- **The Cost Proposal including Price Sheets must be in a separately sealed envelope from the Technical Proposal (see Section 5.2.3).**
- **The Cost Proposal should be on a separate CD from the Technical Proposal.**

5.2.2 Technical Proposal Format

The first group of documents in the proposal response package shall be marked as the "**Technical Proposal.**" Each Vendor's proposal response package submitted for the **Technical Proposal** must contain the items listed below in the order listed and divided using tabs as indicated (A, B, C, D, 1, 2, 3, etc.):

- Cover Page for Technical Proposal
- TAB A – RFP Proposal Sheet
- TAB B –Transmittal Letter
- TAB C – RFP Addenda
- TAB D – Table of Contents
- TAB 1 – Executive Summary
- TAB 2 – Company Overview
- TAB 3 – Use of Subcontractors
- TAB 4 – Relevant Business Experience
- TAB 5 – Proposed Solution
- TAB 6 – System Development Lifecycle Approach and Methodology
- TAB 7 – Project Management Approach
- TAB 8 – Project Plan
- TAB 9 – Integration and Implementation Services
- TAB 10 – Stabilization and Operations

- TAB 11 – Proposed Staffing
- TAB 12 – Relevant Technical Experience
- TAB 13 – Agency Responsibilities
- TAB 14 – Vendor Assumptions
- TAB 15 – Lessons Learned
- Appendix A – Financial Status
- Appendix B – Certificate of Authority
- Appendix C – Requirements Response Matrix

The following sections provide a description of each of the bulleted items above.

5.2.2.1 Cover Page for Technical Proposal

The cover page for the **Technical Proposal** shall be a single page formatted and marked according to the technical proposal example provided on the next page. This page shall be used to identify the Vendor's **Technical Proposal** section of their proposal.

The cover page for the **Technical Proposal** shall be a single page and the first page of this section marked as follows:

Alabama Medicaid Agency

Eligibility Determination System

TECHNICAL PROPOSAL

RFP #: 2011-ELI-01

Opening Date: [enter proposal opening date]

Company Submitting the Proposal: _____

Proposal Submitted By (Company Representative): _____

5.2.2.2 RFP Proposal Sheet

The Technical Proposal shall include the proposal sheet (Form E) signed in blue ink, notarized, and completed per the Alabama Medicaid Agency specifications and included as the first document of the **original Technical Proposal**. The notary can appear at the bottom of the page. The section for the "Firm and Fixed Priced" shall be left blank when accompanying the Technical Proposal. A copy of the original completed Alabama Medicaid Agency RFP Sheet must be included in each required copy in the specified order.

5.2.2.3 Transmittal Letter

The Transmittal Letter shall be submitted on official business letterhead by the prime Vendor and shall be signed by an individual authorized to commit the company to the scope of work proposed.

The Transmittal Letter shall contain all of the following:

- Brief statement of the Vendor's understanding of the scope of software and services associated with this RFP
- Identification of all materials and enclosures being submitted collectively as a response to this RFP
- Identification of the Vendor who will be the prime Vendor and the name of the corporation or other legal entity submitting the proposal
- The name, title, address, email address and telephone number of the individual who will function as the main contact for the Vendor
- A statement identifying any and all subcontractors, if any, who are needed in order to satisfy the requirements of this RFP. The percentage of work, as measured by percentage of total contract price, to be performed by the prime Vendor shall be provided. Subcontracted work shall not collectively exceed 40 percent of the total contract price. The Vendor shall assume sole and exclusive responsibility for all of the Vendor Responsibilities and work indicated in the RFP (including any and all addenda). If no subcontractor is proposed, a statement shall be made identifying that fact.
- A statement that the prices proposed were arrived at independently without consultation, communication, or agreement with any other Vendor or competitor for this procurement and that the prices are binding for 90 days
- A statement that the person signing this proposal is authorized to make decisions on behalf of the Vendor's organization as to the prices quoted
- A Disclosure Statement completed and submitted with the proposal required pursuant to Alabama Act 2001-955, located in Form P – Disclosure Statement or on the Attorney General's web site at the following address: http://www.ago.state.al.us/ag_items.cfm?Item=70

Note: Any Subcontractors bid in this proposal must also complete a Disclosure Statement which is to be submitted with the proposal.

The Transmittal Letter must be signed by an individual authorized to commit the company to the work proposed. No reference is to be made to any pricing information or elements of cost. ***If any element of cost is referred to in the Transmittal Letter, the Vendor shall be disqualified.*** ***Note: Inclusion of the*** **percentage of work, as measured by percentage of total contract price, to be performed by the prime Vendor (see bullet 2 above) without reference to any monetary price will not violate the element of cost provision.**

5.2.2.4 RFP Addenda

Vendors shall acknowledge receipt of all RFP added by listing the addenda and including a signed copy of the front page of each addendum. The signature must be the same as on the Transmittal Letter.

5.2.2.5 Table of Contents

The Technical Proposal shall be submitted with a table of contents that clearly identifies and denotes the location of each section and sub-section of the proposal. The electronic copies shall have hyperlinks to corresponding sections from the Table of Contents. Each page of the response shall be clearly and uniquely numbered. Additionally, the Table of Contents shall clearly identify and denote the location of all enclosures and attachments to the proposal.

Title this section as "**Table of Contents**" in the Technical Proposal.

5.2.2.6 Executive Summary

The Executive Summary will condense and highlight the contents of the Technical Proposal in such a way as to provide the proposal evaluators with an overall understanding of the proposal. Vendors shall provide a concise summarization of the proposed products and services, and how these proposed products and services solve the problems presented in the RFP. Vendors shall present their planned approach to providing the proposed products and services, and their understanding of the objectives and intended results of the project and the scope of work.

The Executive Summary must not exceed two double-sided pages.

Title this section as "**Executive Summary**" in the Technical Proposal.

5.2.2.7 Company Overview

Provide information about the Vendor's company capabilities to satisfy the requirements of this RFP and why the company should be selected for this project. The overview shall describe the kinds of projects the firm typically performs.

The overview shall provide a description of the Vendor's company information including:

- Date established

- Ownership (public company, partnership, subsidiary, etc.): If a Vendor is owned or controlled by a parent company, the name, main office address, and parent company's tax identification number shall be provided in the proposal
- Organizational chart depicting the Vendor's organization in relation to any parent, subsidiary, or related organization
- Identification of whether or not the company is a) a partnership, b) a non-profit corporation, c) Alabama Corporation, d) Non-Alabama Corporation, or e) some other structure
- State in which the Vendor is incorporated
- Number of employees and resources
- Organizational staffing chart
- Names and resumes of Senior Managers and Partners in regards to this contract
- Office location(s) responsible for the proposed tasks
- Evidence that the Vendor is financially stable and that it has the necessary infrastructure to complete this contract as described in the Vendor's proposal. The Vendor must provide audited financial statements for the last three years, or similar evidence of financial stability for the last three years in Appendix A of the proposal.
- Vendor's acknowledgment that the State will not reimburse the Vendor until: (a) the State Project Manager has approved the invoice; and (b) the Agency has received and approved all deliverables covered by the invoice
- Details of any pertinent judgment, criminal conviction, investigation, or litigation pending against the Vendor or any of its officers, directors, employees, agents, or subcontractors within the last five (5) years related to this RFP, the state or federal government, Medicaid, any oversight agencies such as Health and Humans Services, Center for Medicare and Medicaid Services and Office of Inspector General, and eligibility enrollment, of which the Vendor has knowledge, or a statement that there are none. The Agency reserves the right to reject a proposal solely on the basis of this information.
- Disclosure of any contracts terminated for cause or convenience in the past five years
- Disclosure of any conflict of interest
- Indication if the Vendor is minority-owned
- Number of jobs the Vendor will be creating in the State of Alabama during the project duration

The Company Overview must not exceed four double-sided pages. **Senior staff resumes and details of judgments, etc. may be included in an addendum.**

Title this section "**Company Overview**" in the Technical Proposal.

The company must have all necessary business licenses, registrations, and professional certifications at the time of the contracting to be able to do business in Alabama. Alabama law

provides that a foreign corporation (an out-of-state company/firm) may not transact business in the State of Alabama until it obtains a Certificate of Authority from the Secretary of State, Section 10-2B-17.01, et seq., Code of Alabama 1975. To obtain forms for a Certificate of Authority, contact the Secretary of State, Corporations Division, (334) 242-5324, www.sos.state.al.us. The Certificate of Authority or a letter/form showing application has been made for a Certificate of Authority must be submitted in the proposal in Appendix B.

5.2.2.8 Use of Subcontractors

For each proposed subcontractor, provide overview information about the company's plans to use a subcontractor or subcontractors to meet the requirements of this project. The overview shall describe what functions or tasks the Subcontractor(s) would perform under this RFP. The same company information listed in the previous section shall be provided for each subcontractor.

If subcontractors will not be used on this project, include statements in this section to specify the company's intentions not to use subcontractors.

The Use of Subcontractors section must not exceed two double-sided pages for each subcontractor proposed.

Title this section as "**Use of Subcontractors**" in the Technical Proposal.

5.2.2.9 Relevant Business Experience

Provide a Business Experience Matrix (see Form Q) which summarizes relevant projects completed by the company, or the specific organizational unit of the company that will be responsible for work performed in this contract. If Subcontractors are to be used on the project, a Business Experience Matrix must be completed for each Subcontractor proposed. List the 10 most recent projects performed that demonstrate the Vendor's ability to perform the requirements expressed in the RFP. All projects must be listed if the company has less than 10 relevant projects. The matrix must provide all of the information described below. Columns shall be used as follows:

Column A: Provide the name of the client and a short project name and description.

Column B: Indicate if work was performed relative to consulting support and technical assistance for State Government Medicaid Management/Eligibility Information Systems. Indicate Yes or No in the box.

Column C: Summary of DDI activities performed on the project. Leave blank if not performed.

Column D: For each project, indicate the starting date of the project using Month/Day/Year (MM/DD/YY) format.

Column E: For each project, indicate the ending date of the project using Month/Day/Year (MM/DD/YY) format.

Column F: Provide a checkmark in this column if the project was completed within the original timeframe. Leave blank if not.

Column G: Provide a checkmark in this column if the project was completed within the original budget. Leave blank if not.

Column H: Provide a checkmark in this column if the company was involved in any litigation related to this project.

Column I: For each project, list names (or initials) of all staff members proposed for the Recipient Subsystem Modernization Project that participated on the project referenced in the table.

Column J: Provide the name of one client the Proposal Evaluation team may contact about the project, with verified telephone numbers (please include fax number and email address if available).

The Agency reserves the right to contact any former client or employer with which the Vendor is known to have done business, whether or not provided as a reference.

Provide details for each project not completed on time or within budget. Also, provide the details of any litigation related to the project.

In addition to this Matrix, the Vendor may provide any additional information about the projects listed, such as the purpose, scope, the company's involvement, and the outcome or status of the project.

5.2.2.10 Proposed Solution

The Vendor shall provide a detailed description of its proposed solution to meet the RFP requirements as explained in Section 2 Project Scope and Approach. The proposed solution shall also address the requirements identified in Section 3.2.1 System Solution. The response shall include technical information about the proposed software as it exists today along with planned modifications and customization. The Vendor must provide convincing evidence that all the requirements in this RFP will be met by the proposed solution. The Vendor must identify all known issues with the proposed solution. The Vendor must provide a summary of proposed Business Applications and Technology Products including:

- Provider
- Products
- Release level of the products to be used
- Next release / version level to be released
- Planned release date of the next release / version

A discussion of the Software Provider's Product Maintenance approach shall be included in this section. Each product maintenance period must cover the full contract period.

REMINDER: Licensing and ongoing cost information shall be reflected only in the separate Cost Proposal.

Each proposal must provide general information of the current overall performance of the proposed solution, including response time, transaction processing times, average and worst case response times, and eligibility determination response time.

The Vendor shall describe the future direction of the technology and functionality of the proposed products. The application must be adaptable to new functionality required by the Affordable Care Act and be compliant with the Affordable Care Act. Vendors shall cover the areas and specific items mentioned in Section 3.3 Affordable Care Act Requirements.

Note: As previously indicated in Section 2.1, Vendors shall refrain from proposing a software solution that will create a proprietary dependency unless approved by the State. For purposes of transparency, all Vendors are requested to include in their bid a complete list of all software, including COTS products that will be proposed in support of the new Eligibility Determination System. In cases where a software solution could potentially meet the criteria of a proprietary dependency, the Vendor is requested to describe the reason for the need, substitutions that are possible (if any), additional cost if not used and if a substitution is used instead, and if no substitution is available to describe the extent of the dependency.

The Proposed Solution section must not exceed 20 double-sided pages.

Title this section of the Technical Proposal as "**Proposed Solution.**"

5.2.2.11 System Development Lifecycle Approach and Methodology

Describe the Vendor's proposed System Development Lifecycle Approach and Methodology toward this project including the phases, objectives, recommended tasks, and a summary of related control objectives for effective management. The Vendor shall identify projects where it has been previously successful using the proposed methodology. A description of the Work Breakdown Structure (WBS) necessary to capture and schedule the work, including the milestones and proposed baselines of the project, shall be addressed. In addition, an overview of the full scope and timeline of the project shall be described. Also to be included in this section are identified risks associated with the proposed lifecycle along with potential mitigation activities.

The proposal shall identify certifications the Vendor has received, such as SEI CMMI assessments, ISO 900x certifications, or any other pertinent certifications.

The Lifecycle Approach and Methodology section must not exceed five double-sided pages.

This section must be titled as "**System Development Lifecycle Approach and Methodology**" in the Technical Proposal.

5.2.2.12 Project Management Approach

The Vendor shall describe its approach to managing the project, including the provision for a full-time, experienced Project Manager who will be accountable for all services and deliverables provided under the contract resulting from this RFP, and who will work to ensure the on-time delivery and successful deployment of a functioning system that meets the Agency's requirements and the successful ongoing operation of the solution. As part of its project management approach, the Vendor shall describe the project management tools, standards, controls, and procedures that will be utilized to create a proven, reliable process to deploy the system statewide. This section shall also include a brief description of the Vendor's approach for managing the project on a daily basis.

The "Project Management Approach" section must not exceed three double-sided pages.

This section must be titled "**Project Management Approach**" in the Technical Proposal.

5.2.2.13 Project Plan

The Vendor shall describe the Project Plan to be used in completing this project. The description of the Project Plan shall cover the items listed below but are not limited to these items.

- Preliminary Project Plan to include:
  - Summary of the overall plan for the completion of each activity and task of the project
  - Summary of the overall plan for Vendor services
  - Project Schedule (Gantt chart), which includes all deliverables listed in Section 2.6 Work Activities, Tasks, and Deliverables
  - Dependencies, critical paths, estimated work effort, and resources (Vendor and State)
- Description of necessary relationships between the Vendor, subcontractors, and Medicaid personnel to include:
  - Estimated time requirements for all Medicaid employees corresponding to the Project Schedule
- Preliminary project timelines and milestones
- Status Reporting
- Issue Resolution
- Action Item Tracking
- Project Controls, standards and procedures
- Describe in detail the office automation needed to support the proposed Project Team (e.g., computer connections, configuration, etc.)

- Describe the Vendor's understanding of the project and address the objectives and requirements for activities as defined in Sections 2.3 and 2.4. The description must include how the tasks in Sections 2.6.1 through 2.6.27 will be performed, what problems need to be overcome, what functions the Vendor's staff will perform, and what assistance will be needed from Medicaid staff, if any. The response must maintain separation of responsibilities by clearly stating those responsibilities of the Vendor and those responsibilities expected of State personnel. Medicaid will expect this section to describe how the Vendor proposed staffing in response to Section 3.5 will be adequate to perform each task.

The Vendor shall provide the Project Schedule in Microsoft Project in the electronic version. Printed copies shall include a high-level timeline in Gantt chart format.

The Project Plan section must not exceed 15 double-sided pages not including the Project Schedule (Gantt chart).

This section must be titled as "**Project Plan**" in the Technical Proposal.

5.2.2.14 Integration and Implementation Services

Describe the Vendor's approach, methodology, skills, knowledge, ability, and any specialized tools that will be used to complete or address the items listed in the Integration and Implementation Services section. **The State does not want a "rewrite" of the RFP requirements, since signing and returning the RFP signifies acceptance of the terms and conditions contained therein.**

The following list of items corresponds to the Integration and Implementation activities and tasks identified in Section 2.6. For each Strategy and Methodology provided, the Vendor must address each responsibility listed in that section as part of the comprehensive strategy and methodology. For example, when describing the strategy and methodology for the Conceptual Architectural Design Activity in Section 2.6.7, the Vendor shall, in that section, address all bullets under the Vendor Responsibilities heading for each deliverable taking into consideration the Acceptance Criteria.

Each response to the list of items must have a separate header in this format: "Response to #" followed by the item number (e.g., "Response to #1").The Vendor must address its approach for completion of each of the following items:

1. Comprehensive Strategy and Methodology for the Project Planning Activity.
2. Comprehensive Strategy and Methodology for the Project Assessment and Control Activity.
3. Comprehensive Strategy and Methodology for the Decision Management Activity.
4. Comprehensive Strategy and Methodology for the Risk Management Activity.
5. Comprehensive Strategy and Methodology for the Configuration Management Activity.

6. Comprehensive Strategy and Methodology for the Requirements Analysis and Management Activity.
7. Comprehensive Strategy and Methodology for the Conceptual Architectural Design Activity.
8. Comprehensive Strategy and Methodology for the Detail Design Activity.
9. Comprehensive Strategy and Methodology for the Security Activity.
10. Comprehensive Strategy and Methodology for the Continuity of Operations Activity.
11. Comprehensive Strategy and Methodology for the Knowledge Management Activity.
12. Comprehensive Strategy and Methodology for the Organization Change Management Activity.
13. Comprehensive Strategy and Methodology for the Data Conversion Activity.
14. Comprehensive Strategy and Methodology for the Development Activity.
15. Comprehensive Strategy and Methodology for the System Integration Activity.
16. Comprehensive Strategy and Methodology for the System Implementation Activity.
17. Comprehensive Strategy and Methodology for the Testing Activity.
18. Comprehensive Strategy and Methodology for the Quality Assurance Activity.
19. Comprehensive Strategy and Methodology for the Software Verification Activity.
20. Comprehensive Strategy and Methodology for the Software Validation Activity.
21. Comprehensive Strategy and Methodology for the Software Reviews Activity.
22. Comprehensive Strategy and Methodology for the Software Problem Resolution Process Activity.
23. Comprehensive Strategy and Methodology for the User Acceptance Testing Activity.
24. Comprehensive Software Implementation Process
25. Comprehensive Strategy and Methodology for the Transition and Stabilization Maintenance Activity.
26. Comprehensive Strategy and Methodology for the Document Management Activity.
27. Comprehensive Strategy and Methodology for the Operations Activity.
28. Comprehensive Strategy and Methodology for the Federal Review and Certification Activity.

The Integration and Implementation Services section must not exceed 50 double-sided pages.

Title this section of the Technical Proposal as "**Integration and Implementation Services.**"

5.2.2.15 Stabilization and Operations Services

The Vendor shall provide a description of its strategy and approach for conducting post implementation support (stabilization) and ongoing operations once the system has been placed into production. This description shall include detailed information about the level of staffing, the staffing roles, and the cyclical and non-cyclical activities that shall be conducted by the Vendor. The description shall be comprehensive in nature. Vendors shall bear in mind that the bid in this area is both comprehensive and fixed price in nature. Therefore, if any necessary service or other item or piece of equipment is left out of the proposal, and this service, item, or piece of equipment is later deemed by the Agency to be necessary and essential to the performance of ongoing operations support, then the Vendor will be responsible for providing that service, item, or piece of equipment at no additional charge to the Agency.

Vendors shall keep in mind that there are two periods of Stabilization and Operations support to consider: one after the end of the Phase 1, and one after the end of Phase 2 (or however many Phases the Vendor's proposed solution includes).

Turnover processes are critical to the initial procurement process. Each Vendor shall address procedures related to turnover at contract end. Recommendations for Agency staffing necessary to assume support responsibilities shall be identified in this section. The staffing recommendation shall include a recommendation for staffing levels by position, an organizational chart, and roles and responsibilities descriptions for each position.

Each proposal shall address any experience the Vendor has with the turnover of a major system to another Vendor or to the client. The Vendor is expected to be a full partner in the turnover process and has a responsibility to ensure that the Agency continues to operate smoothly during and after the turnover process. As part of this procurement, the Vendor shall have at least one staff member available to the Agency for at least six months following the official turnover date to address concerns.

The Stabilization and Operations Services section must not exceed five double-sided pages.

Title this section of the Technical Proposal as "**Stabilization and Operations Services.**"

5.2.2.16 Proposed Staffing

The awarded Vendor must furnish experienced, qualified professionals to ensure the success of the project. Accordingly, Vendors shall provide a detailed listing of the individuals proposed to serve Medicaid on this assignment, along with a complete description of their roles and responsibilities and an indication of their planned level of effort. The Vendor shall address each of the requirements listed in Section 3.5.

This RFP has provided some specific staffing requirements in Section 3.5, but Vendors may propose the number of staff positions they need to meet the requirements for each task or deliverable. It is also allowable for the Vendor to submit staff positions equivalent to the staff positions described in 3.5.3. If equivalent positions are submitted by the Vendor, the proposal must describe in detail the staff responsibilities and relevant experience as it relates to their role

in the project. The Agency will expect this section to clearly explain how the proposed staffing will be adequate to fully perform each activity/task required in Section 2.6.1 through 2.6.28.

Resumes must be provided for each key individual and identify his/her role in the project. Resumes must describe each individual's educational background, experience, other pertinent professional data, and shall be sufficiently detailed to demonstrate an individual's qualifications and experience and must include references. Vendors shall furnish staff with experience in similar projects using SOA, SQL, and rules engines. Medicaid retains the right of approval over all proposed personnel, including potential substitutions to those proposed in response to this RFP.

It is expected that personnel proposed for the project will be committed and truly engaged with the project, and that inexperienced personnel will not be exchanged for them. Should specific personnel proposed by the Vendor not be available, or if Medicaid determines that key personnel are not providing an adequate amount of time onsite, Medicaid reserves the right to cancel the project and all prior agreements with the Vendor or make appropriate adjustments to any work plan and prices to be paid herein under.

Section 3.6 provides details on offsite office space and equipment for Vendor and Agency staff. This response section must contain acknowledgement that the Vendor understands its obligation regarding the establishment of an offsite office and equipment.

Additionally, Medicaid reserves the right to impose liquidated damages of up to 10 percent of the total project price should specific personnel proposed by the Vendor or Medicaid approved substitutions not be available, or become materially absent during the course of the project.

The Proposed Staffing section must not exceed 15 double-sided pages. Resumes and Letters of Intent may be included in an Addendum to this section.

Title this section of the Technical Proposal as the "**Proposed Staffing.**"

5.2.2.17 Relevant Technical Experience

Describe the Vendor's proposed project team's experience with:

- Total years experience
- Contracts with other state Medicaid Agencies relative to system design, development, integration, and implementation
- Experience working with other Alabama State agencies
- Analysis of best Recipients Subsystems (e.g., Recipient data, eligibility verification, interfaces, etc.)
- Implementation of information systems using database management systems
- Cooperative/distributed processing and client/server architecture
- Web-based development including tools used

- Cooperative/distributed processing, N-Tier architecture/technology, SOA, Enterprise Application Integration (EAI), and ESB (or its equivalency), client/server architecture
- Rules engines
- Visio Pro

The Relevant Technical Experience section must not exceed five double-sided pages.

Title this section of the Technical Proposal "**Relevant Technical Experience.**"

5.2.2.18 Agency Responsibilities

Vendors shall respond to Section 2.6 by providing feedback regarding whether or not they believe all responsibilities have been identified. If there are missing responsibilities that the Vendor believes the State should accept, they shall be noted at this time. Medicaid reserves the right to accept or reject any additional requirements identified by the Vendor.

The Agency Responsibilities section must not exceed two double-sided pages.

Title this section of the Technical Proposal as the "**Agency Responsibilities.**"

5.2.2.19 Vendor Assumptions

The Vendor shall document any Vendor assumptions associated with the Technical Proposal.

The Vendor Assumptions section must not exceed two double-sided pages.

Title this section of the Technical Proposal as the "**Vendor Assumptions.**"

5.2.2.20 Lessons Learned

The Vendor shall provide a discussion of the significant lessons learned from experience at previous eligibility projects of similar size and scope, and how the Vendor will apply those lessons to the RS Modernization Project.

The Lessons Learned section must not exceed three double-sided pages.

Title this section of the Technical Proposal as the "**Lessons Learned.**"

5.2.2.21 Financial Status

Vendors shall submit copies of their most recent audited financial statements and report of audit. These shall include at least a balance sheet and income statement. Vendors shall also include a statement of the Vendor's other contractual obligations which might have an influence on the capabilities of the Vendor to perform the conditions of the contract (e.g., shared personnel).

Title this section of the Technical Proposal as the "**Financial Status.**"

5.2.2.22 Certificate of Authority

The company must have all necessary business licenses, registrations, and professional certifications at the time of the contracting to be able to do business in Alabama. Alabama law provides that a foreign corporation (an out-of-state company/firm) may not transact business in the State of Alabama until it obtains a Certificate of Authority from the Secretary of State, Section 10-2B-17.01, et seq., Code of Alabama 1975. To obtain forms for a Certificate of Authority, contact the Secretary of State, Corporations Division, (334) 242-5324, www.sos.state.al.us. The Certificate of Authority or a letter/form showing application has been made for a Certificate of Authority shall be placed in this section.

Title this section of the Technical Proposal as the "**Certificate of Authority.**"

5.2.2.23 Requirements Response Matrix

The Eligibility Determination System requirements are listed in Appendix E. A mandatory Requirements Response Matrix for the mandatory/optional functional and non-functional requirements is provided in Form D - Requirements Response Matrix.

In the Requirements Response Matrix, the Vendor must note the degree to which its proposed solution currently (at the time of proposal submission) meets each requirement in an operational production environment. This form must be completed and returned as part of the proposal.

The completed Requirements Response Matrix found in Form D shall be placed in this section of the Technical Proposal titled "**Requirements Response Matrix**."

5.2.3 Cost Proposal

The second part of the documents that make up the Vendor's proposal response shall be marked "**Cost Proposal**" per specifications in Section 5.2.1. Each Vendor's proposal response package submitted must contain as part of its "**Cost Proposal**" the items listed below in the order listed:

- Cover Page for Cost Proposal, formatted as indicated in Section 5.2.3.1
- TAB A – Table of Contents
- TAB B – Executive Summary
- TAB 1 – Price Schedule I (See Form F)
- TAB 2 – Price Schedule II (See Form G)
- TAB 3 – Price Schedule III (See Form H)
- TAB 4 – Price Schedule IV (see Form I)
- TAB 5 – Price Schedule V (see Form J)
- TAB 6 – Price Schedule VI (see Form K)
- TAB 7 – Price Schedule VII (see Form L)

- TAB 8 – Price Schedule VIII (see Form M)
- TAB 9 – Alternative Pricing Option 1 (see Form N-1 through Form N-8)
- TAB 10 – Alternative Pricing Option 2 (see Form O)

The following sections (Sections 5.2.3.1 through 5.2.3.7) provide a description of each of the above bullet items.

The **Cost Proposal** shall be submitted in a separately sealed envelope from the Technical Response and provided with the original proposal. The Vendor's name(s) shall be clearly identified on the envelope and on the Price Schedules.

5.2.3.1 Cover Page for Cost Proposal

The cover page for the **Cost Proposal** shall be a single page, formatted and marked according to the response example provided on the next page. This page shall be used to identify the beginning of the Vendor's Cost Proposal section.

The cover page for the **Cost Proposal** shall be a full and first page of this section marked as follows:

Alabama Medicaid Agency

Eligibility Determination System

COST PROPOSAL
RFP #: 2011-ELI-01

Opening Date: [enter proposal opening date]

Company Submitting the Proposal: _____

Proposal Submitted By (Company Representative): _____

5.2.3.3 Table of Contents

The Cost Proposal shall be submitted with a table of contents that clearly identifies and denotes the location of each section and sub-section of the Cost Proposal. The electronic copy shall have hyperlinks to the corresponding sections from the Table of Contents. Each page of the response shall be clearly and uniquely numbered. Additionally, the Table of Contents shall clearly identify and denote the location of all enclosures and attachments to the proposal.

5.2.3.4 Executive Summary

The Vendor shall provide an overview of the Cost Proposal which describes any pricing approaches, discounts, and reasons why the Vendor‘s combined technical and cost approach is the best value to the Agency.

The Executive Summary section may be no longer than two pages double sided.

5.2.3.5 Price Sheets

The Pricing Schedules reflect the State precedent of costing labor separately from deliverables. Price Schedule I is intended to reflect labor hours and Price Schedule II is intended to reflect the cost of deliverables themselves. While the two are clearly related, the State recommends that each Vendor apply a sizing factor to determine the deliverables costs. Vendors shall account for labor hours as labor, and determine a cost for deliverables using some factor to distribute a portion of overall costs to the deliverables.

The Alabama Medicaid Agency RFP Proposal Sheet(s) must be signed and completed per the proposal sheets instructions. The RFP Proposal Sheet shall be submitted in the separately sealed package with the Pricing Schedules and be notarized as stated in section 5.2.2.2. The “Firm and Fixed Price for Contract” section on the Proposal Sheet that accompanies the Pricing Schedules must be completed.

5.2.3.5.1 Price Schedule I – DDI Labor

Vendors are to complete this price schedule by entering the following:

- Staff by Title (Project Manager, Business Architect, Systems Architect, etc.)
- Number of Staff
- Rate per Hour
- Estimated Hours (project)
- Extended Price
- Grand Total Staff
- Grand Total Hours
- Grand Total Price

The Extended Price shall be calculated for each line item listed as the Rate Per Hour times the Estimated Hours (Extended Price = Rate Per Hour * Estimated Hours). The Grand Total Staff is the summed total of all staff listed under the # of Staff column. The Grand Total Hours is the summed total of all hours listed under the Estimated Hours column. The Grand Total Price is the summed total of all prices listed in the Extended Price column. The Grand Total Price must be transferred to Price Schedule II and recorded on the proper line as indicted on Schedule II (bottom of schedule). The Rate per Hour listed on this schedule shall be the Rate per Hour charged by the Awarded Vendor for the specified staff based on job title. The Awarded Vendor's staff Rate per Hour charges shall be based on the proposal response "Rate per Hour" in Price Schedule I as part of the awarded contract.

This Pricing Schedule is for the 24 month DDI period.

Price Schedule I must be signed and dated by a person in the Vendor's organization who can legally obligate the Vendor to the conditions of this contract. (See Form F Price Schedule I).

5.2.3.5.2 Price Schedule II - Deliverables

Price Schedule II must be completed by the Vendor to list the Fixed Total Price the Vendor shall charge to deliver the Medicaid approved deliverable along with execution as listed on Price Schedule II. After the proposal award, this schedule shall be used to determine the amount due for each approved deliverable based on the contracted proposal Fixed Total Price. Vendors are to complete this pricing schedule by entering their prices for each deliverable listed. Vendors may add additional pertinent tasks/deliverables/requirements based on the Vendor's Eligibility System or DDI knowledge and experience within each stage of **Price Schedule II** as applicable. Should Vendors add to or modify this list with, for instance, deliverables they deem necessary, overlooked or innovated, they may make such recommendations in their proposal by adding the line item(s) to Pricing Schedule II where applicable and assigning an appropriate line item number based on the schema used in Price Schedule II. The Vendor must also provide a clear explanation of the requirements and purpose of any added or modified deliverable in a separate attachment. Medicaid shall determine if any line items added or modified on Schedule II by the proposing Vendor are acceptable deliverables under the RFP (see Form G Price Schedule II). Payments will only be made on the successful completion and approval of a deliverable by Medicaid as itemized in Price Schedule II under the contract.

Each Vendor shall calculate their Fixed Proposal Price for a line item to cover their cost for the deliverable to include the use of subcontractors. Elements of price applicable to the contract such as travel, clerical support, subsistence, training, etc., must also be considered in calculating a deliverable's Fixed Proposal Price. Proposing Vendor staff hours expended to produce a deliverable shall not be used in the overall calculation of the Fixed Proposal Price for a deliverable since staff time is billable at a stated Rate per Hour and can be billed as a separate line item.

Price Schedule II must be signed and dated by a person in the Vendor's organization who can legally obligate the Vendor to the conditions of this contract. The Vendor shall fully define any commitment of Medicaid resources not included in the price of the proposal but are necessary to fulfill the requirements of the RS Modernization Project.

5.2.3.5.3 Price Schedule III – Hardware and Software

All third-party products (middleware, database management software, operating system software, compilers, job schedulers, security-related packages, etc.) required to successfully install and operate the proposed solution shall be identified, describing the cost, quantities, release levels, etc., of each of these products.

The Vendor shall also list the itemized costs associated with providing the required hardware and systems software needed, specifying the required cache servers, web servers, application servers, database servers, and all other associated devices and applicable systems software.

The Contractor is responsible for obtaining and retaining licenses of current Agency-used products necessary to complete the scope of work and requirements of this RFP.

Pricing should cover the time period of 24 months DDI, 12 month Stabilization Period and additional optional maintenance and support periods – total five years.

Price Schedule III must be signed and dated by a person in the Vendor's organization who can legally obligate the Vendor to the conditions of this contract.

5.2.3.5.4 Price Schedule IV – Software Licenses

The Price Schedule IV shall include pricing for any fees related to the licensing of the proposed Eligibility Determination System software product.

a. The Vendor shall provide the licensing cost for each individual application module and third-party tool included as part of the proposed software solution. Software components that are necessary to operate and maintain the proposed COTS software, State transfer system, or combination hybrid, shall be included. The costs for each item are to be quoted separately unless bundled pricing is offered.

b. The Vendor is responsible for obtaining and retaining appropriate licenses of any current Agency-used products necessary to support the proposed software solution.

c. The State will pay any required business and technology software license fees separately.

Pricing should cover the time period of 24 months DDI, 12 month Stabilization Period and additional optional maintenance and support periods – total five years.

Price Schedule IV must be signed and dated by a person in the Vendor's organization who can legally obligate the Vendor to the conditions of this contract.

5.2.3.5.5 Price Schedule V – Software Maintenance Support

The Price Schedule V shall include pricing for the ongoing software annual maintenance fees.

a. Any fees related to ongoing maintenance of any included software shall be provided, as well as any discounts offered. The initial basis for annual maintenance fees shall be based on the negotiated purchase price for the licensed products

b. The State will pay any ongoing software maintenance support fees separately.

Pricing should cover the time period of 24 months DDI, 12 month Stabilization Period and additional optional maintenance and support periods – total five years.

Price Schedule V must be signed and dated by a person in the Vendor's organization who can legally obligate the Vendor to the conditions of this contract.

5.2.3.5.6 Price Schedule VI – Stabilization and Ongoing Operations

The Price Schedule VI shall provide pricing for Stabilization period and Ongoing Operations by contract year for the anticipated year following the Stabilization period. The one-year Stabilization period and Ongoing Operational Services may be acquired through extension of this contract.

Price Schedule VI must be signed and dated by a person in the Vendor's organization who can legally obligate the Vendor to the conditions of this contract.

5.2.3.5.7 Price Schedule VII – Other Implementation Costs

The Price Schedule VII shall provide pricing for Other Implementation Costs by contract year starting with FY2012 and each subsequent year of the project.

Pricing should cover the time period of 24 months DDI, 12 month Stabilization Period and additional optional maintenance and support periods – total five years.

Price Schedule VII must be signed and dated by a person in the Vendor's organization who can legally obligate the Vendor to the conditions of this contract.

5.2.3.5.8 Price Schedule VIII – Pricing Sheet Summary

All total costs from the previous seven pricing sheets shall be transferred to Pricing Sheet VIII to determine the final fixed bid price. The Vendor shall ensure that all totals match.

Price Schedule VIII must be signed and dated by a person in the Vendor's organization who can legally obligate the Vendor to the conditions of this contract.

5.2.3.6 Alternative Pricing Option 1

The Agency is also interested in the long term benefits of outsourcing the system as opposed to maintaining the system themselves. The Vendor shall provide the pricing for outsourcing of the system stabilization, operations and maintenance defined above for a five year period following system go-live. The Vendor should assume that the Agency will not be taking the system in house or providing operational support for the purposes of this exercise.

The Vendor shall provide their strategy for assuming full responsibility for the ongoing operations and support of the system including plans for stabilization and maintenance of the system; ongoing operations and Help Desk provisions.

The Stabilization and Operations Services section must not exceed five double-sided pages.

Option I Pricing Sheet (Forms N-1 through N-8) shall follow the strategy description. These pricing sheets would replace Pricing Sheet VI and VII if the decision is made to outsource the ongoing operations and maintenance.

5.2.3.7 Additional Pricing Option 2

At this point in time, the Agency does not have very much information regarding the establishment of the Exchange. As both programs progress simultaneously there may be additional requirements that are required by the Exchange project. These will be clearly outside the scope of this project. The Vendor shall provide the hourly rate that they will charge for staffing to meet requirements added to the scope during the design, development, integration and implementation phases of the Eligibility Determination System.

These additional requirements will be provided to the Vendor to estimate. If the estimate is deemed appropriate by the Agency, they will approve the additional work at the agreed upon rates that have been negotiated in good faith.

This rate will be provided on Option 2 Pricing Sheet – Form O.

There also exists the possibility that Alabama HBE will request the selected vendor to perform work on the Exchange. It is expected that the Vendor will negotiate in good faith with the State not to exceed the hourly rates identified in this proposal.

5.2.4 Best and Final Offer

The “Best and Final Offer” is an option available to the State under the RFP process, which permits the State to request a “best and final offer” from one or more Vendors if additional information is required to make a final decision. Vendors may be contacted asking that they submit their “best and final offer,” which must include any and all discussed and/or negotiated changes. The State reserves the right to request a “best and final offer” for this RFP, based on price/cost alone.

5.2.5 Freedom of Information and Privacy Acts

Vendors shall be aware that all materials associated with the procurement are subject to the terms of the Freedom of Information Act (FOIA) and all rules, regulations, and interpretations resulting there from including those from the Offices of the Attorney General of the United States (US), Health and Human Services (HHS), and Centers for Medicare and Medicaid Services (CMS).

By submission of a proposal, the Vendor agrees that the Privacy Act of 1974, Public Law 93-579, and the Regulations and General Instructions issued pursuant thereto are applicable to this contract, and to all subcontracts hereunder to the extent that the design, development, operation, or maintenance of a system of records as defined in the Privacy Act is involved.

5.3 Proposal Evaluation Criteria

5.3.1 Introduction

The objective of the proposal evaluation process is to determine the proposal which provides the most value and functionality in effectively meeting the Agency's goals and the requirements of this RFP. A comprehensive, fair, and impartial evaluation of proposals received in response to this procurement effort will be conducted. Award shall be made in the best interest of the State as determined by the Proposal Evaluation Committee. Consideration may focus on, but is not limited to:

- Cost. Bidders are not to inflate prices in the initial proposal as cost is a factor in determining who may receive an award or be invited to formal negotiations. The State reserves the right to award to the lowest responsive bid without conducting formal negotiations.
- Adequacy and completeness of proposal
- Bidder‘s understanding of the project
- Compliance with the terms and conditions of the RFP
- Experience in providing like services
- Qualified staff
- Response format as required by this RFP

A Proposal Evaluation Committee of Agency employees shall conduct the evaluation in the following sequence:

1. Receipt of Proposals.
2. Removal of non-responsive proposals.
3. Review of Mandatory Requirements.
4. Committee evaluation and scoring of responsive Technical Proposals.
5. Scoring of Cost Proposals.
6. Merging of Vendor Technical Proposal scores and Cost Proposal scores.
7. Rank Ordering of Vendors.
8. Evaluation Committee determination of Proposals Reasonably Likely for Award.
9. Oral Presentations – at the option of the Agency.

10. Re-evaluation of proposals reasonably likely for award based on original proposals and any clarification of information generated through oral presentations – if performed.
11. Reference Checks.
12. RFP Apparently Successful Vendor Award Recommendation.

5.3.2 Initial Classification of Proposals as Responsive or Non-Responsive

All proposals will initially be classified as either “responsive” or “non-responsive.” Proposals may be found non-responsive at any time during the evaluation process or contract negotiation if any of the required information is not provided; the submitted price is found to be excessive or inadequate as measured by criteria stated in the RFP; or the proposal is not within the plans and specifications described and required in the RFP. If a proposal is found to be non-responsive, it will not be considered further.

Proposals failing to demonstrate that the Vendor meets the mandatory requirements identified in Appendix O - Mandatory Requirements will be deemed non-responsive and not considered further in the evaluation process.

5.3.3 Determination of Responsibility

The Evaluation Committee will determine whether or not a Vendor has met the standards of responsibility. In determining responsibility, the committee may consider factors such as, but not limited to, the Vendor’s specialized expertise, ability to perform the work, experience, and past performance. Such a determination may be made at any time during the evaluation process and through contract negotiation if information surfaces that would result in a determination of non-responsibility. If a Vendor is found non-responsible, a written determination will be made a part of the procurement file and mailed to the affected Vendor.

5.3.4 Evaluation of Proposals

All responsive proposals will be evaluated based on stated evaluation criteria as well as a comparative evaluation of all other qualified RFP responses in terms of differing price, quality, and contractual factors. These scores will be used to determine the most advantageous offering to the State.

5.3.5 Completeness of Proposals

Selection and award will be based on the Vendor’s proposal and other items outlined in this RFP. Submitted responses may not include references to information located elsewhere, such as Internet web sites or libraries, unless specifically requested by the State in this RFP. Information or materials presented by Vendors outside the formal response will not be considered, will have no bearing on any award, and may result in the Vendor being disqualified from further consideration.

5.3.6 Opportunity for Additional Information

The State reserves the right to contact any Vendor submitting a proposal for the purpose of clarifying issues in that Vendor's proposal. Vendors shall clearly designate in their proposal a point-of-contact for questions or issues that arise in the State's review of a Vendor's proposal. Upon receipt of all proposals, the State will conduct a comprehensive review and evaluation process resulting in a subset of the proposals being designated as "reasonably likely to award." Vendors whose proposals are determined "reasonably likely to award" may also be required to make an oral presentation at Medicaid Agency headquarters in Montgomery, Alabama, to clarify their RFP response or to further define their offer. Oral presentations, if requested, shall be at the Vendor's expense. The State's intent with regard to the oral presentation is to gauge the level of competence of proposed staff. Thus, the presentation must be conducted by the key staff proposed in the Vendor's proposal.

Those Vendors that have been eliminated will be notified accordingly.

5.3.7 Scoring

The evaluation process is designed to award the contract to the Vendor with the best combination of attributes based upon the evaluation criteria including, but not limited to, solution, experience, cost, implementation methodology, and staffing. The Evaluation Committee will review and evaluate proposals based on **a maximum possible value of 2,000 points**. The Vendor's response will be assessed in two parts: 1) Technical Proposal and 2) Cost Proposal. The Technical Proposal will be evaluated based on the following Scoring Guide for a value of 1,800 points, while the Cost Proposal will be evaluated based on the formula set forth in section 5.3.7.5 for a value of 200 points.

The composition of the Proposal total of 2,000 points is shown in Table 11:

Table 11: Scoring Methodology

Category	RFP Section	Point Value
Relevant Business Experience/References	**5.2.2.9**	**Pass/Fail**
Mandatory Proposal Requirements	**5.2.2 – 5.2.3**	**Pass/Fail**
Financial Status	**5.2.2.21**	**Pass/Fail**
Proposed Solution	**5.2.2.10**	**400**
System Development Lifecycle Methodology	**5.2.2.11**	**100**
Project Management Approach	**5.2.2.12**	**100**
Project Plan/Schedule	**5.2.2.13**	**200**
Integration and Implementation Services	**5.2.2.14**	**200**
Stabilization and Operations Services	**5.2.2.15**	**100**

Proposed Staffing	**5.2.2.16**	**200**
Technical and Business Experience	**5.2.2.17**	**400**
Requirements Response Matrix	**5.2.2.23**	**100**
Cost Proposal	**5.2.3**	**200**
Total Points		**2,000**

5.3.7.1 References

The vendor will be scored on the strength of the references provided.

These references may be contacted to verify Vendor's ability to perform the contract. The State reserves the right to use any information or additional references deemed necessary to establish the ability of the Vendor to perform the conditions of the contract. Negative references may be grounds for proposal disqualification.

5.3.7.2 Mandatory Proposal Requirements Criteria

The proposal evaluator shall determine if a proposal is sufficiently responsive to the RFP's requirements as stated in Section 5.2.2 and 5.2.3 (Appendix O) of the RFP. The Agency reserves the right to waive minor variances, to reject any and all proposals, and to request clarifications from all Vendors.

5.3.7.3 Financial Status Pass/Fail

The evaluation will focus on the company's financial stability and the degree of corporate, financial, and technical resources at the company's disposal to be drawn upon in meeting the objectives of this engagement.

5.3.7.4 Technical Proposal Evaluation – 1,800 Points or 90 percent

5.3.7.4.1 Proposed Solution – 400 Points or 20 percent

The Vendor's response to the Proposed Solution will be evaluated based on the methodology and whether or not it meets the requirements explained in Sections 2.1, 3.1, 3.2.1 and 3.3. The response will also be assessed based on the plan for developing application code and business rules from scratch or the plan for leveraging existing business rules. The evaluation will also take into consideration whether or not the Vendor has proposed a solution which creates a proprietary dependency and if so, is adequate justification provided.

The technical sufficiency of the solution will be scored as well as the innovation proposed.

5.3.7.4.2 System Development Lifecycle Approach and Methodology – 100 Points or 5 percent

The Vendor's response to the System Development Lifecycle Methodology RFP requirements will be evaluated on the SDLC models and methodology proposed and management controls identified.

Methodology –Delineates a logical, clear, and detailed methodology for providing integration and implementation services for all aspects of the RS Modernization Project and in meeting all Agency deliverables. Approaches emphasizing thorough analysis and detailed documentation will yield additional points. Examples of successful implementation of proposed methodology will be reviewed as well as the potential risks and mitigation activities associated with proposed lifecycle.

Controls –Management controls that are sufficient to ensure successful completion of all requirements. Assumptions and constraints must be openly revealed as well as a discussion of the flexibility to adapt to a changing environment, and sound management controls.

5.3.7.4.3 Project Management – 100 Points or 5 percent

The Vendor's response to the Project Management RFP requirements will be evaluated on the degree of understanding of the project and the separation of responsibilities and its demonstrated ability to manage large, complex enterprise software projects in a manner that ensures quality, project success, long-term viability, and lowest cost of ownership.

Understanding of Project – The degree to which proposals demonstrate an understanding and awareness of the needs and objectives of the State during the RS Modernization Project. The proposal shall establish a clear understanding of the scope and complexity of the Project and lay out a strategy for managing the volume of work that will be required to provide DDI services for the Project.

Responsibilities – The degree to which proposals demonstrate the delineation between Agency and Vendor (and subcontractor if applicable) responsibilities.

5.3.7.4.4 Project Plan/Schedule – 200 Points or 10 percent

The Vendor's project plan will be evaluated on both the thoroughness/completeness of the plan as well as the quality:

Completeness – The degree to which the proposal completely covers the Vendor's project plan for completing project initiation, execution, management control, etc. The project plan shall cover the Vendor's overall plan for integration and implementation services for the Eligibility Determination System. The plan shall reflect all of the deliverables and project requirements identified within the RFP within the timeframes identified. The Plan/Schedule shall include timeframes, staff assignments, and deliverable review periods. Reviewers will be looking for all items identified in section 5.2.2.12.

Quality – An assessment as to whether or not the plan completely addresses all activities, tasks, deliverables, and phases of the project from initiation through project closeout and turnover to the State. The project plan will also be evaluated based on how realistic the estimated level of effort and timeframes appear.

5.3.7.4.5 Integration and Implementation Services – 200 Points or 10 percent

The Vendor must address all the activities and tasks identified in Section 2.6, 3.2.2 and5.2.2.14 and provide the information and documentation as required.

5.3.7.4.6 Stabilization and Operations Services – 100 Points or 5 percent

The Vendor's response to Stabilization and Operations Services will be evaluated on how well it meets the needs identified in sections 2.6.25, 2.6.27, and 5.2.2.4.

5.3.7.4.7 Project Staffing – 200 Points or 10 percent

The Vendor's response to Project Staffing will be evaluated based on requirements identified in section 3.5. Staff qualifications and experience as well as the organizational structure will be reviewed.

Qualifications and Experience – An assessment of the Vendor's proposed staff in the areas of education, certifications, and training background. Included in the assessment will be a review of Vendor's staff members' recent and sustained design, development, and implementation experience in projects of similar scope. Proposals will be reviewed for instances of project staff member's knowledge and experience with large-scale projects and Medicaid/eligibility programs and systems.

Structure – An evaluation of the Vendor's approach to project organization and staffing. The quantity and quality of staff proposed will be assessed as well as the appropriateness and value of the role/responsibilities that each staff member is assigned on the project team.

5.3.7.4.8 Technical and Business Experience Evaluation – 400 Points or 20 percent

The Vendor's relevant business experience, technical experience, and references will be evaluated to determine whether or not the Vendor requirements identified in Section 3.4 have been met. This experience will be reviewed regarding the relevance, extent, and qualifications as explained below:

Relevance – Evaluation of the Vendor's technical experience and its relevance and applicability to the provision of services as described in this RFP.

Extent – Evaluation of the depth of the Vendor's experience in the areas described in this RFP.

Qualifications – Evaluation of the Vendor's technical experience and capability to deliver the quality and timeliness of the performance needed to successfully develop, design, and implement the project as described in this RFP.

5.3.7.4.9 Requirements Response Matrix – 100 Points or 5 percent

The completed Requirements Response Matrix (Form D) will be evaluated as part of this section. The response will be reviewed along with other areas of the proposal to determine the ability of the Vendor to meet all the system requirements identified by the State.

5.3.7.5 Cost Evaluation – 200 Points or 10 percent

The State of Alabama will only accept firm and fixed cost proposals for this Project. The Vendor shall provide a firm fixed price for the projected contract term which includes an initial 24 months for DDI phases with three one year optional extensions for the 12 months of stabilization and additional maintenance and support. This amount shall be used for evaluation purposes. The Vendor with lowest overall bid will receive the full 200 points. Remaining Vendors' proposal prices will determine their point score based on the following formula:

(X/N) X 200 =Z

Where:

X = lowest price bid

N= proposal price bid

Z = awarded points

Example: Total possible points for cost are 200. Vendor A's cost is $20,000. Vendor B's cost is $30,000. Vendor C's Cost is $40,000. Scoring would be as follows:

Vendor	Bid Price	Points
A	$20,000	200
B	$30,000	133
C	$40,000	100

The same process will be used in comparing Option 1 pricing.

5.3.8 RFP Award Recommendation

The RFP Evaluation Committee shall submit a written recommendation to the Commissioner to award the RFP to the Vendor whose proposal has been determined to be the most advantageous to the State. The Commissioner will make the final decision to award the contract based on the recommendations of the Evaluation Committee. If the Vendor selected is unwilling or unable to perform, the proposal bond will be forfeited and the Agency may award to the next lowest responsible and responsive Vendor most advantageous to the State.

5.3.9 State and Federal Approvals

State and Federal approval is required before the Agency may award a contract. By State law, all contracts must be reviewed by the Legislative Contract Review Oversight Committee and approved by the Governor. In addition, the contract must also be approved by CMS. Every effort

will be made by the Agency, both before and after selection, to facilitate the rapid approval and an early start date. Appendix K contains a copy of the Contract Review Report for Submission to Oversight Committee form that must be signed by the selected Vendor. Other required documents that must be signed by the selected Vendor are located in Appendices L, M, and N.

6 CONTRACT TERMS AND CONDITIONS

6.1 General Contract Terms

6.1.1 Entire Agreement

This RFP and the Vendor's response thereto shall be incorporated into a contract by the execution of a formal agreement. No alteration or variation of the terms of these contracts shall be valid unless made in writing and duly signed by the parties thereto. Oral understandings of this agreement are not incorporated therein and no alterations or variations of the terms thereof shall be binding on any of the parties unless made in writing between the parties. The contract shall be amended by written agreement duly executed by the parties; every such amendment shall specify the date of its provisions and shall be effective as agreed to by the parties. These contracts and amendments, if any, are subject to approval by the CMS and the Governor of the State of Alabama.

Execution of the contract and posting of the performance bond shall authorize the Vendor to undertake performance of the contract and shall entitle Vendor to be reimbursed for costs incurred in such performance, subject to all terms and conditions of the contract.

6.1.2 Notice to Parties

Any notice to the Agency under these contracts shall be sufficient when mailed to the Commissioner of the Alabama Medicaid Agency, P. O. Box 5624, Montgomery, Alabama 36103-5624. Any notice to the Vendor shall be sufficient when mailed to the Vendor at the address given on the return receipt from this RFP or on the contract after signing. All notices shall be given by certified mail, return receipt requested.

6.1.3 Headings and Titles

Any headings or titles used to help identify any part of this RFP or any contract upon which it is based are for reference purposes only and shall not be deemed as controlling the interpretation or meaning of any provision of this RFP or any contract upon which it shall be based.

6.1.4 Compliance with Federal and State Requirements

The Vendor shall perform all services under these contracts in accordance with applicable Federal and State statutes and regulations. The Agency retains full operational and administrative authority and responsibility over the Alabama Medicaid Program in accordance with the requirements of the Federal statutes and regulations. The Vendor will be considered a Business Associate of the Agency and will be required to sign a Medicaid Business Associate Addendum. (See sample in Appendix P).

6.1.5 Contract a Public Record

Upon signing of this contract by all parties, the terms of the contract become available to the public pursuant to Alabama law. Vendor agrees to allow public access to all documents, papers, letters, or other materials subject to the current Alabama law on disclosure. It is expressly

understood that substantial evidence of Vendor's refusal to comply with this provision shall constitute a material breach of contract.

6.1.6 Public Information

All information received in response to this RFP, including copyrighted material, is deemed public information and will be made available for public viewing and copying shortly after the signing of contracts. The sole exceptions to this are as follows: (1) trade secrets meeting the requirements of the Alabama Trade Secrets Act, that have been properly marked, separated, and documented; and (2) any company financial information requested by the State to determine Vendor responsibility, unless prior written consent has been given by the Vendor.

6.1.7 Beginning Work under Contract

The Vendor acknowledges and understands that the contract is not effective until all requisite State approvals are received, and the Vendor shall not begin performing work under these contracts until notified to do so by the Agency. The Vendor is entitled to no compensation for work performed prior to the effective date of these contracts.

6.1.8 Term of the Contract

This contract shall begin on the date of award and shall continue up to 24 months for the DDI phases with Alabama Medicaid having three one year renewal options to cover remaining DDI phases, a one-year period for Stabilization following IOC, and additional optional maintenance support. At the end of the 24 month 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 price sheet contained in the RFP. The Vendor will provide pricing for each year of the contract, including any extensions. It should be understood by the Vendor that if Medicaid exercises the renewal options that the Vendor is required to perform the services pursuant to this RFP for the renewal period for the rate indicated on the price sheet of the RFP.

6.1.9 Contract Content and Other Priority Documents

This RFP and the Vendor’s response shall be incorporated into a contract by the execution of a formal agreement. The contract and amendments, if any, are subject to approval by CMS and the Governor of the State of Alabama.

The contract shall include the following:

- Executed contract
- RFP, and any amendments thereto
- Vendor’s response to the RFP

The contracts shall be construed in accordance with and in the order of the applicable provisions of:

- Title XIX of the Social Security Act, as amended, and regulations promulgated there under by HHS and any other applicable Federal statutes and regulations

- The statutory and case law of the State of Alabama
- The Alabama State Plan for Medical Assistance under title XIX of the Social Security Act, as amended
- The Alabama Medicaid Agency Administrative Code
- The Alabama Medicaid Provider Manual
- The Agency's written responses to prospective Vendors' questions

6.1.10 Contract Amendments

The contract shall be deemed to include all applicable provisions of the State Plan and of all State and Federal laws and regulations applicable to the Alabama Medicaid Program, as they may be amended. In the event of any substantial change in such Plan, laws, or regulations, which materially affect the operation of the Alabama Medicaid Program, or the costs of administering such Program, either party, after written notice and before performance of any related work, may apply in writing to the other for an equitable adjustment in compensation caused by such material change.

6.1.11 Changes to the Statement of Work

During the contract period, if the Vendor considers that any written or oral communication, including any order, direction, instruction, interpretation, or determination, received from the Recipient Subsystem Project Manager or any Alabama Medicaid agent or representative, or that any other act or omission of the Alabama Medicaid Agency, its agent or representative (an "Event") constitutes a change to the scope of the Statement of Work of this RFP but is not plainly identified, labeled, or titled as such, the Vendor shall advise the designated Agency contact person in writing within 10 business days of the Event and shall request written confirmation of the Event. The notice shall state:

- The nature and pertinent circumstances of the communication, act, or omission regarded as a change in scope of the Statement of Work by the Vendor
- The date of the communication, act, or omission, and the identification of each individual involved in such communication, act, or omission, listing his or her name and function
- The identification of the documents involved
- The substance of any oral communications
- The particular technical requirements or contract requirements regarded as changed
- The direct and foreseeable consequential effect of the communication, act, or omission regarded as a change to the scope of the Statement of Work, including the number of hours required from the staff to accomplish the change and the manner and sequence of performance or delivery of supplies or services, identifying which supplies or services are or shall be affected

The Agency shall respond within 10 days of receipt of the Vendor’s notice, either:

- To countermand the action or communications regarded as an Event
- To deny that the Event is a change in the scope of the Statement of Work
- To confirm that the Event is a change to the scope of the Statement of Work by issuance of a written notice
- If the information in the Vendor's notice is inadequate to permit a decision to be made, advise the Vendor as to what additional information is required and establish the date by which this information shall be furnished

If the Vendor complies with any order, direction, interpretation, or determination, written or oral, without providing the notice, in accordance with this section, the Agency shall not be liable for any increased price, delay in performance, or contract nonconformance by the Vendor.

If the Vendor does not agree with the decision of the Agency designee, the Vendor has 30 days to appeal the decision to the Commissioner of Medicaid.

6.1.12 Additions to Permanent Staff

Both the Vendor and the Agency must agree upon additions to contract-required staff or key personnel. The reimbursement of the staff cannot exceed the current Vendor rate being paid for equivalent staff.

6.1.13 Force Majeure

Neither party to this contract shall be responsible for delays or failures in performance resulting from acts beyond the control of such party. Such acts shall include, but not be limited to, acts of God, strikes, riots, lockouts, and acts of war, epidemics, fire, earthquakes, or other disasters.

6.1.14 Not a Debt of the State

It is agreed that the terms and commitments contained herein shall not be constituted as a debt of the State of Alabama in violation of Article 11, Section 213 of the Constitution of Alabama, 1901, as amended by Amendment 26. It is further agreed that if any provision of this contract shall contravene any statute or Constitutional provision or amendment, either now in effect or which may, during the course of these contracts, be enacted, then that conflicting provision in the contract shall be deemed null and void. The Vendor's sole remedy for the settlement of any and all disputes arising under the terms of these contracts shall be limited to the filing of a claim with the Board of Adjustment for the State of Alabama.

6.1.15 Use of Federal Cost Principles

For any terms of these contracts which allow reimbursement for the cost of procuring goods, materials, supplies, equipment, or services, such procurement shall be made on a competitive basis (including the use of competitive bidding procedures) where practicable, and reimbursement for such cost under these contracts shall be in accordance with 48 CFR Parts 300 to 399. Further, if such reimbursement is to be made with funds derived wholly or partially from Federal sources, such reimbursement shall be subject to Vendor's compliance with

applicable Federal procurement requirements, and the determination of costs shall be governed by Federal cost principles.

6.1.16 Non-assignment

These contracts shall not be assigned without written consent of the Agency. Except under exceptional circumstances, no such consent shall be given.

6.1.17 Subcontracts

The Vendor may subcontract for any services necessary to the completion and maintenance of this contract and to the performance of its duties under this contract with advance written approval by the Agency of both the subcontracted function and the subcontractor. Subcontractors include those whose services shall be purchased or software licensed by the Vendor, and any business partnerships between the Vendor and others. Subcontractors shall demonstrate the capability to perform the function to be subcontracted at a level equal or superior to that of the Vendor. All subcontracts shall be in writing, with the subcontractor functions and duties clearly identified, and shall require the subcontractor to comply with all applicable provisions of this RFP. The Vendor shall at all times remain responsible for the performance by any subcontractors approved by the Agency. The Vendor's performance bond and Vendor's responsibility for damages shall apply whether performance or nonperformance was by the Vendor or one of its subcontractors. The Agency shall not release the Vendor from any claims or defaults of this contract, which are predicated upon any action or inaction or default by any subcontractor of the Vendor, even if such subcontractor was approved by the Agency as provided above. The Vendor shall give the Agency notice in writing by certified or registered mail of any action or suit filed against it by any subcontractor and prompt notice of any claim made against the Vendor by any subcontractor or Vendor, which in the opinion of the Vendor may result in litigation related in any way to this contract with the State of Alabama.

In the event of a proposal submitted jointly by more than one organization, one organization must be designated as the prime Vendor and must have responsibility for the project management and not less than 60 percent of the work to be performed (as measured by price). All other participants shall be designated as subcontractors. The State encourages Vendors to consider the use of minority and small business firms as subcontractors.

6.1.18 State Ownership

The State of Alabama shall have all rights of ownership in software, any modifications thereof, and all associated documentation designed, developed, or enhanced by the Vendor for the Eligibility Determination System in the performance of its duties under this agreement. The Vendor shall obtain for the Agency any necessary licenses for all commercial or proprietary software not owned by the Vendor that is necessary for the performance of the duties and obligations expressed in this agreement. HHS reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use, and authorize others to do so, such software, modifications, and documentation.

6.1.19 Firm and Fixed Price

Refer to Section 4.9 Proposal Prices.

6.1.20 Vendor not Entitled to Merit System Benefits

It is expressly understood and agreed that Medicaid enters into this agreement with the Vendor and any subcontractor as authorized under the provisions of this contract as an independent Vendor on a purchase of service basis and not on an employer-employee basis and not subject to State Merit System law. Under no circumstances shall the Vendor be entitled to receive the benefits guaranteed to State employees under the Merit System Act.

6.1.21 Conservation of Resources

To the extent practicable and economically feasible, the Vendor shall utilize products and services that conserve natural resources and protect the environment and are energy efficient.

6.2 Termination

This Contract may be terminated by Medicaid for any and all of the following reasons:

- In the event of the insolvency of or declaration of bankruptcy by the Vendor
- For any default by the Vendor
- In the event sufficient appropriated, obligated funds from either State or Federal sources no longer exist for the payment of Medicaid's obligation herein under
- For the convenience of Medicaid

Each of these is described in the following subsections.

6.2.1 Termination for Bankruptcy

The filing of a petition for voluntary or involuntary bankruptcy or a company or corporate reorganization pursuant to the Bankruptcy Act shall, at the option of the Agency, constitute default by the Vendor effective the date of such filing. The Vendor shall inform the Agency of any such action(s) immediately upon occurrence by the most expeditious means possible (e.g., telephone, fax, Federal Express (FedEx), USPS mail, etc.).

6.2.2 Termination for Default

The Agency may, by written notice, terminate performance under these contracts, in whole or in part, for failure of the Vendor to perform any of the material contract provisions. In the event the Vendor defaults in the performance of any of the Vendor's material duties and obligations, written notice shall be given to the Vendor specifying default. A copy of the written notice shall be sent to the Surety for the Vendor's Performance Bond.

The Vendor shall have 30 calendar days, or such additional time as agreed to in writing by the Agency, after the mailing of such notice to cure any default. In the event the Vendor does not

cure a default within 30 calendar days, or such additional time allowed by the Agency, the Agency at its option may notify the Vendor in writing that performance under the contract is terminated and proceed to seek appropriate relief from the Vendor and Surety. If it is determined, after notice of termination for default, that the Vendor's failure was due to causes beyond the control of and without error or negligence of the Vendor, the termination shall be deemed a termination for convenience under section 6.2.4.

6.2.3 Termination for Unavailability of Funds

Performance by the State of Alabama of any of its obligations under these contracts is subject to and contingent upon the availability of State and Federal monies lawfully applicable for such purposes. If the State of Alabama, in its sole discretion, deems at any time during the term of these contracts that adequate monies lawfully applicable to this agreement shall not be available for the remainder of the term, the Agency shall promptly notify the Vendor to that effect, whereupon the obligations of the parties hereto shall end as of the date of the receipt of such notice and the contract shall at such time be canceled without penalty to the State of Alabama or the Federal Government.

6.2.4 Termination for Convenience

The Agency may terminate performance of work under the Contract in whole or in part whenever, for any reason, the Agency, in its sole discretion determines that such termination is in the best interest of the State. In the event that the Agency elects to terminate the contract pursuant to this provision, it shall so notify the Vendor by certified or registered mail, return receipt requested. The termination shall be effective as of the date specified in the notice. In such event, the Vendor will be entitled only to payment for all work satisfactorily completed and for reasonable, documented costs incurred in good faith for work in progress. The Vendor will not be entitled to payment for uncompleted work, or for anticipated profit, unabsorbed overhead, or any other costs.

6.3 The Vendor's Duties Upon Expiration/Termination

6.3.1 Procedure for Termination

Prior to the conclusion of these contracts, the Vendor shall provide, at no extra charge, full support and assistance in turning over the complete and current deliverables to the Agency or its agent. The Agency desires a low-risk turnover that is transparent. Specific objectives are to provide for an orderly, complete, and controlled transition to a successor Vendor and to minimize any disruption of processing and services provided.

The Vendor must:

- Stop work under these contracts on the date and to the extent specified in the notice of termination
- Place no further orders or subcontracts for materials or services, except as may be necessary for completion of such portion of work under these contracts as is not terminated

- Terminate all orders and subcontracts to the extent that they relate to the performance of work terminated by the notice of termination
- Assign to the Agency, in the manner and to the extent directed by the Agency, all of the rights, title, and interest of the Vendor under the orders or subcontracts so terminated, in which case the Agency shall have the right, in its discretion, to settle, pay, or deny any or all claims arising out of the termination of such orders and subcontracts
- With the prior approval or ratification of the Agency, settle all outstanding liabilities and all claims arising out of such termination of orders and subcontracts, the cost of which would be reimbursable in whole or in part, in accordance with the provisions of these contracts. Failure to obtain prior approval shall result in loss of the Agency reimbursement.
- Complete the performance of such part of the work as shall not have been terminated by the notice of termination
- Take such action as shall be necessary, or as the Agency shall direct, for the protection and preservation of any and all property or information related to these contracts which is in the possession of the Vendor and in which the Agency has or shall acquire an interest

6.3.2 Termination Claims

After receipt of a notice of termination, Vendor must submit to the Recipient Subsystem Project Manager and the Primary Coordinator any termination claim in the form and with the certification prescribed by the Recipient Subsystem Project Manager and the Primary Coordinator. Such claim shall be submitted promptly but in no event later than 60 days from the effective date of termination. Upon failure of the Vendor to submit its termination claim within the time allowed, the Recipient Subsystem Project Manager and the Primary Coordinator may, subject to any review required by the State procedures in effect as of the date of execution of the contract, determine, on the basis of information available, the amount, if any, due to the Vendor by reason of the termination and shall thereupon cause to be paid to the Vendor the amount so determined.

Upon receipt of notice of termination, Vendor must have no entitlement to receive any amount for lost revenues or anticipated profits or for expenditures associated with this or in any other contract. Vendor shall be paid only by the following upon termination:

- At the contract price(s) for completed deliverables and services delivered to and accepted by Medicaid
- At a price mutually agreed upon by the Vendor and Medicaid for partially completed deliverables

In the event of the failure of the Vendor and Medicaid to agree in whole or in part as to the amounts with respect to costs to be paid to the Vendor in connection with the total or partial termination of work pursuant to this article, Medicaid shall determine on the basis of information available the amount, if any, due to the Vendor by reason of termination and shall pay to the Vendor the amount so determined.

6.4 Employment

6.4.1 Nondiscrimination Compliance

The Vendor shall comply with title VII of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, the Age Discrimination Act of 1975, Executive Order No. 11246, as amended by Executive Order No. 11375, both issued by the President of the United States, the Americans with Disabilities Act of 1990, and with all applicable Federal and State laws, rules and regulations implementing the foregoing statutes with respect to nondiscrimination in employment. The Vendor shall not discriminate against any employee or applicant for employment because of a physical or mental disability in regard to any position for which the employee or applicant is qualified. The Vendor agrees to take affirmative action to employ, advance in employment, and otherwise treat qualified disabled individuals without discrimination based on their physical or mental disability in all employment practices.

6.4.2 Small Businesses, Minority-Owned Firms, and Women's Business Enterprises Utilization

In accordance with the provisions of 45 CFR Part 74 and Office of Management and Budget (OMB) Circular A-102, affirmative steps shall be taken to assure that small businesses, minority-owned firms and women's business enterprises are utilized when possible as sources of supplies, equipment, construction, and services.

6.4.3 Worker's Compensation

The Vendor must take out and maintain during the initial term of these contracts and any renewal thereof, worker's compensation insurance for all of its employees working as part of this Contract; and, in the event any work is subcontracted, the Vendor must require any subcontractor similarly to provide worker's compensation insurance for all the latter's employees working as a part of this Contract.

6.4.4 Other Insurance

The Vendor must obtain, pay for, and keep in force the following minimum insurance coverage and shall furnish a certificate to the Agency evidencing that such insurance is in effect:

- Comprehensive general liability policy with endorsement to insure contractual liability, personal injury, personal and advertising liability waiving right of subrogation against the State
- Liability insurance against bodily injury or death of any one person in any one accident in the amount of five hundred thousand dollars ($500,000) and in the amount of one million dollars ($1,000,000.00) for the injury or death of more than one person in any accident.
- Insurance against liability for property damages in the amount of one hundred thousand dollars ($100,000.00)

It shall be the responsibility of the Vendor to require any subcontractor to secure the same insurance coverage as prescribed herein for the Vendor, and to furnish to the Agency a

certificate or certificates evidencing that such insurance is in effect. Evidence of insurability under these provisions shall be directed to the Agency. In addition, the Vendor must indemnify and save the State harmless from any liability arising out of the Vendor's or any subcontractor's untimely failure in securing adequate insurance coverage as prescribed herein. All such coverage shall remain in full force and effect during the initial term of these contracts and any renewal thereof.

6.4.5 Employment of State Staff

To ensure compliance with the Alabama Code of Ethics, §36-25-1, et seq., Code of Alabama 1975, the Vendor shall not knowingly engage on a full-time, part-time, or other basis during the period of these contracts, any professional or technical personnel who is or has been in the employ of the State of Alabama during the previous 24 months, without first acquiring an Ethics Opinion from the Alabama Ethics Commission. The web site for the Ethics Commission is: http://ethics.alabama.gov/default2.aspx

6.4.6 Additional Terms and Conditions For Vendor's Personnel

The Vendor warrants and represents that all persons including independent Vendors and Vendors assigned by it to the performance of this contract shall be agents of the Vendor and shall be fully qualified to perform the work required herein. The Vendor must include a similar provision in any contract with any subcontractor selected to perform work there under.

Medicaid shall have the absolute right to approve or disapprove Vendor's staff assigned to this contract, to approve or disapprove any proposed changes in staff, and to require the removal or reassignment of any Vendor employee or subcontractor employee found unacceptable by Medicaid. The Vendor may terminate any of its personnel assigned to the project for a violation of law or company policy without Agency prior approval. Upon request, Vendor must provide Medicaid with a resume of any member of its staff or its subcontractor's staff assigned to or proposed to be assigned to any aspect of the performance of this contract.

Personnel commitments made in Vendor's proposal shall not be changed except as hereinabove provided, or due to a resignation of any named individual. Vendor staffing will include the named individuals at the levels of effort proposed in the Vendor's proposal. Replacement of any personnel will be with personnel of equal ability and qualifications as determined by Medicaid. No diversion of staffing will be made by the Vendor without prior written consent of Medicaid.

The Vendor must provide staff to perform all tasks specified as the Vendor's responsibilities in this RFP. The staff level must be maintained at the level stated in the proposal or as authorized in writing by Medicaid for the duration of the contract.

Failure of the Vendor to provide staffing at the contracted and Medicaid approved level may result in liquidated damages.

The Vendor will commit all personnel specified in this proposal to this contract unless Medicaid exercises its option to have a staff person removed. Medicaid will be provided unrestricted access to appropriate Vendor personnel for discussion of problems or concerns.

6.4.7 Federal Involvement Practices Requirements

The Vendor will not discriminate against any employee or applicant for employment because of race, color, religion, sex, national origin, age, marital status, political affiliation, or disability. The Vendor will take affirmative action to employ and treat employees during employment without discrimination because of their race, color, religion, sex, national origin, age, marital status, political affiliation, or disability. Such action will include, but will not be limited to, the following:

- Employment
- Upgrade
- Promotion
- Demotion
- Transfer
- Recruitment
- Advertisement for Recruitment
- Layoff
- Termination
- Rates of pay or other compensation
- Selection for training (including apprenticeship)

The Vendor agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth the provision of this non-discrimination clause.

The Vendor will in all solicitations or advertisements for employees, placed by or on behalf of the Vendor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, national origin, age, marital status, political affiliation, or disability except where it relates to a bona fide occupational qualification.

6.5 Guarantees, Warranties, and Certifications

6.5.1 Security and Release of Information

The Vendor shall take all reasonable precautions to ensure the safety and security of all information, data, procedures, methods, and funds involved in the performance under these contracts, and shall require the same from all employees so involved. In compliance with 42 CFR §431.300 et seq., the Vendor shall conform to the requirements of Federal and State regulations regarding confidentiality of information about eligible beneficiaries. The Vendor shall not release any data or other information relating to the Alabama Medicaid Program without prior written consent of the Agency. This provision covers both general summary data as well as detailed, specific data. The Vendor shall not be entitled to use of Alabama Medicaid Program data in its other business dealings without prior written consent of the Agency. All requests for program data shall be referred to the Agency for response by the Commissioner only.

The Vendor must treat all information, including that relating to beneficiaries and providers, which is obtained by the Vendor through his/her performance under the contract as confidential information, and shall not use any information so obtained in any manner except as necessary for the proper discharge of its obligations and securement of its rights herein, or as otherwise provided for herein. Medicaid, the Attorney General, Federal officials as authorized by Federal law or regulations, or the authorized representatives of these parties shall have access to all confidential information in accordance with the requirements of State and Federal laws and regulations. Any other party will be granted access to confidential information only after complying with requirements of State and Federal laws and regulations pertaining to such access. Medicaid shall have absolute authority to determine if any other party has properly obtained the right to have access to this confidential information.

6.5.2 Federal Nondisclosure Requirements

Each officer or employee of any person to whom Social Security information is or may be disclosed shall be notified in writing by such person that Social Security information disclosed to such officer or employee can be only used for authorized purposes and to that extent and any other unauthorized use herein constitutes a felony punishable upon conviction by a fine of as much as five thousand dollars ($5,000.00) or imprisonment for as long as five years, or both, together with the cost of prosecution. Such person shall also notify each such officer or employee that any such unauthorized further disclosure of Social Security information may also result in an award of civil damages against the officer or employee in an amount not less than one thousand dollars ($1,000.00) 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).

Additionally, it is incumbent upon the Vendor to inform its officers and employees of penalties for improper disclosure implied by the Privacy Act of 1974, 5 USC 552a. Specifically, 5 USC 552a (1) (1), which is made applicable to the Vendors by 5 USC 552a (m) (1), provides that any officer or employee of the Vendor 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 there under, and who knowing that disclosure of the specific material is prohibited, willfully discloses that 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 five thousand dollars ($5,000.00).

6.5.3 Health Insurance Portability and Accountability Act of 1996 Requirements

All parties shall comply with the provisions of the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and any implementing regulations as adopted.

6.5.4 Share of Contract

No official or employee of the State of Alabama shall be permitted any share of these contracts or any benefit that may arise there from.

6.5.5 Provision of Gratuities

Neither the Vendor nor any person, firm, or corporation employed by the Vendor in the performance of these contracts shall offer or give, directly or indirectly, to any employee or agent of the State, any gift, money or anything of value, or any promise, obligation or contract for future reward or compensation at any time during the term of these contracts.

6.5.6 Conflict of Interest

The Vendor covenants that it presently has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of its services hereunder. The Vendor further covenants that in the performance of these contracts no person having any such known interests shall be employed by the Vendor.

6.5.7 Debarment

The Vendor certifies that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this contract by any Federal department or agency.

6.5.8 Performance Bond

In order to assure full performance of all obligations imposed on a Vendor contracting with the State of Alabama, the Vendor will be required to provide a performance guarantee in the amount of 15 percent of the total contract value. The performance guarantee must be submitted by the Vendor at least 10 calendar days prior to the contract start date. The form of security guarantee shall be one of the following: 1) Cashier’s check (personal or company checks are not acceptable); 2) Other type of bank certified check; 3) Money order; 4) An irrevocable letter of credit; 5) Surety bond issued by a company authorized to do business within the State of Alabama. This bond shall be in force from that date through the term of the operations contract and 90 calendar days beyond and shall be conditioned on faithful performance of all contractual obligations. Failure of the Vendor to perform satisfactorily shall cause the performance bond to become due and payable to the State of Alabama. The Alabama Medicaid Agency, Office of Finance Administration shall be custodian of the performance bond. Said bond shall be extended in the event the Agency exercises its option to extend the operational contract.

6.5.9 Indemnification

The Vendor agrees to indemnify, defend, and hold harmless the State, the Agency, and their officers, agents, and employees (hereinafter collectively referred to as "indemnitees"), for all claims, losses, or suits accruing or resulting from the Vendor's performance or non-performance of its duties under these contracts. The Vendor, at its own expense, shall defend any claim or suit which may be brought against the State for the infringement of any patents, copyrights, proprietary rights, or right of privacy arising from the Vendor's or State's use of any equipment, materials, or information prepared or developed in conjunction with performance of these contracts. The Vendor shall, in any such suit, satisfy any final judgment for infringement. Any Federal sanction or damages, other than those specified herein, imposed upon the State due to

the Vendor's failure to perform its responsibilities under these contracts shall be paid by the Vendor.

The Vendor hereby waives, releases, relinquishes, discharges, and agrees to indemnify, protect, and hold harmless the indemnitees of and from any and all claims, demands, liabilities, loss, costs or expenses for any loss or damage, (including but not limited to bodily injury or personal injury including death, property damage, workers' compensation benefits, employment benefits, libel, slander, defamation of character, and invasion of privacy) and attorney fees, caused by, growing out of, or otherwise happening in connection with these contracts, due to any act or omission (whether intentional or negligent, through theft or otherwise), or due to any breach of this contract, or due to the application or violation of any pertinent Federal, State or local law, rule, policy, or regulation by the Vendor.

This indemnification applies whether or not: 1) the activities involve third-parties or employees, subcontractors or agents of the Vendor or indemnitees, or 2) a claim results in a monetary obligation that exceeds any contractual commitment.

This indemnification extends to the successors and assigns of the Vendor, and this indemnification and release survives the termination of this contract and the dissolution or, to the extent allowed by law, the bankruptcy of the Vendor.

The Vendor must, at its expense, be entitled to and shall have the duty to participate in the defense of any suit against the indemnitees. No settlement or compromise of any claim, loss, or damage asserted against indemnitees shall be binding upon the indemnitees unless expressly approved by the indemnitees.

6.5.10 Compliance with Environmental Standards

The Vendor agrees to comply with all applicable standards, orders, or regulations issued pursuant to the Clean Air Act, 42 U.S.C. 7401 et seq. and the Federal Water Pollution Control Act, as amended 33 U.S.C. 1251 et seq., Executive Order 11738, and other Environmental Protection Agency (EPA) regulations.

6.5.11 Waiver

No covenant, condition, duty, obligation, or undertaking contained in or made a part of these contracts shall be waived except by written agreement of the parties expressly acknowledging this waiver as a modification of the contracts.

6.5.12 Warranties Against Broker's Fees

The Vendor warrants that no person or selling agency has been employed or retained to solicit or secure these contracts upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee except bona fide employees. For breach of this warranty, the Agency shall have the right to terminate these contracts without liability to the Agency.

6.5.13 Novation

In the event of a change in the corporate or company ownership of the Vendor, the Agency may, subject to approval by HHS and a determination by the Agency that the successor can meet the needs of the Agency, recognize the successor's interest in the transfer of these contracts. The new corporate or company entity shall agree to the terms of the original Contract and any amendments thereto. During the interim between legal recognition of the new entity and the Agency execution of the novation agreement, valid contracts shall continue to exist between the Agency and the original Vendor. When, to the Agency's satisfaction, sufficient assets necessary for the performance of these contracts have been transferred from the original Vendor, the Agency shall approve the novation agreement.

6.6 Disputes and Litigation

6.6.1 Attorneys Fees

In the event that the State shall prevail in any legal action arising out of the performance or non-performance of this Contract, the Vendor must pay, in addition to any damages, all expenses of such action including reasonable attorneys fees and costs. This requirement applies regardless of whether the Agency is represented by staff counsel or outside counsel. Fees and costs of defense shall be deemed to include administrative proceedings of all kinds, as well as all actions at law or equity.

6.6.2 Disputes

Except in those cases where the proposal response exceeds the requirements of the RFP, any conflict between the proposal response of the Vendor and the RFP shall be controlled by the provisions of the RFP. Any disputes concerning a question of fact arising under the contract, which is not disposed of by agreement, shall be decided by the Recipient Subsystem Project Manager and the Primary Coordinator who shall reduce their decision to writing and mail or otherwise furnish a copy thereof to the Vendor. The decision of the Recipient Subsystem Project Manager and the Primary Coordinator shall be final and conclusive unless within 10 calendar days from the date of receipt of such copy, the Vendor mails or otherwise furnishes a written appeal to the Commissioner of Medicaid. The decision of the Commissioner or her/his duly authorized representative for the determination of such appeals shall be final and conclusive unless determined by a court of competent jurisdiction to have been fraudulent, or capricious or arbitrary, or so grossly erroneous as necessarily to imply bad faith under the Alabama Administrative Procedure Act. In connection with any appeal proceeding under this clause, the Vendor must be afforded an opportunity to be heard and to offer evidence in support of his appeal. Pending a final decision of a dispute herein under, the Vendor must proceed diligently with the performance of the contract in accordance with the disputed decision. The Vendor’s sole remedy for the settlement of any and all disputes arising under the terms of this agreement concerning compensation claimed to be due and payable to the Vendor, or any aspect of the performance of duties by the Vendor shall be limited to the filing of a claim with the Board of Adjustment for the State of Alabama.

For any and all disputes arising under the terms of this contract, the parties hereto agree, in compliance with the recommendations of the Governor and Attorney General, when considering settlement of such disputes, to utilize appropriate forms of non-binding alternative dispute resolution including, but not limited to, mediation.

6.6.3 Litigation

Any litigation brought by the Agency or the Vendor regarding any provision of these Contracts shall be brought in either the Circuit Court of Montgomery County, Alabama, or the United States District Court for the Middle District of Alabama, Northern Division, according to the jurisdictions of these courts. This provision is not intended to, nor shall it operate to, enlarge the jurisdiction of either of said courts, but is merely an agreement and stipulation as to venue.

6.7 Records

6.7.1 Records Retention and Storage

In accordance with 45 CFR §74.53, the Vendor shall maintain financial records, supporting documents, statistical records, and all other records pertinent to the Alabama Medicaid Program for a period of three years from the date of the final payment made by the Agency to the Vendor under this Contract. However, if audit, litigation, or other legal action by or on behalf of the State or Federal government has begun but is not completed at the end of the three-year period, or if audit findings, litigation, or other legal action have not been resolved at the end of the three-year period, the records shall be retained until resolution.

6.7.2 Inspection of Records

The Vendor agrees that representatives of the Comptroller General, HHS, the General Accounting Office, the State of Alabama Department of Examiners of Public Accounts, the Agency, and their authorized representatives shall have the right during business hours to inspect and copy the Vendor's books and records pertaining to contract performance and costs thereof. The Vendor shall cooperate fully with requests from any of the agencies listed above and shall furnish free of charge copies of all requested records. The Vendor may require that a receipt be given for any original record removed from the Vendor's premises.

The Vendor agrees to make available at its central business office at all reasonable times during the period set forth below any of the records of the contracted work for inspection or audit by any authorized representative of Medicaid or their duly authorized representative.

A file and report retention schedule shall be developed by the Vendor and approved by Medicaid. The Vendor shall maintain the schedule and Medicaid will approve all changes.

6.7.3 System Documentation

The awarded Vendor shall establish and utilize documentation update procedures, including status report meetings with the Agency, to ensure that the Eligibility Determination System documentation remains current at all times. The Vendor shall maintain the master copy of all Eligibility Determination System documentation and shall furnish the Agency with one complete

copy by start of operations, and one copy of each update. The Vendor shall provide the Recipient Subsystem Deputy Project Manager with a complete copy of all system documentation (e.g., all detailed system designs, data element dictionary, systems manuals, user manuals, provider manuals, etc.) prior to going live. The Vendor shall incorporate any requirement change into all necessary documentation within five days of implementation.

6.8 Method of Payment and Invoicing

The Agency shall provide payment to the Vendor in accordance with the Alabama Medicaid Agency Vendor's proposal sheet and the Pricing Schedules in Appendices F through M of this RFP.

Payment shall be made monthly for the Agency approved Vendor staff hours worked and tasks/deliverables/requirements received and approved (as specified in Price Schedule II).

The Vendor shall submit invoices to the Recipient Subsystem Project Manager on a monthly basis for approved services and deliverables rendered to the Agency in the previous month. Each monthly invoice shall have a cover letter/memo addressed to the Recipient Subsystem Project Manager printed on the Vendor's company letterhead. Attached to the Vendor's letter/memo shall be the Vendor's invoice. The invoice shall contain summary level descriptions of each invoiced line item. All Vendor staff signed timesheets for the billing period must be attached to the invoice. The Vendor's staff resource and the Vendor's Project Lead must sign each Vendor staff's timesheet. Items appearing on the monthly Vendor's invoice must be line items identified as part of this contract, invoiced according to the Vendor's fixed quoted price for deliverables and a computed summary level cost for the Vendor's staff hours worked based upon the Vendor's quoted Rate Per Hour for each staff member multiplied by the actual hours worked. ***The total accumulated hours for each Vendor staff resource must not exceed the total hours quoted for each staff resource by the Vendor in their proposal response.*** One full copy of the invoice documentation (cover letter, invoice, and timesheets) shall also be provided to the Primary Coordinator.

During the life of the Contract for this RFP, payment of 90 percent of the amount proposal per task/deliverable/requirement will be paid to the Vendor following the Agency's approval of tasks/deliverables/requirements for services rendered with the exceptions noted below. The Agency will retain an amount equal to 10 percent of each task/deliverable/requirement cost (withholding) which will be paid to the Vendor at the successful completion of all tasks. The Awarded Vendor's monthly invoices must show the 10 percent withholding amount for task/deliverables/requirements deducted from the total amount of the invoice. The 10 percent withholding is payable upon the Agency's acceptance of the system. ***The total amount billed under this RFP by the Vendor, including the 10 percent withholding, shall and cannot exceed the total fixed price agreed to under this contract.***

6.9 Damages

6.9.1 Liquidated Damages

The purpose of liquidated damages is to ensure adherence to the performance requirements in these Contracts. No punitive intention is inherent. It is agreed by the Agency and the Vendor

that, in the event of a failure to meet the contract requirements, damage shall be sustained by the Agency, and that it is and shall be impractical and extremely difficult to ascertain and determine the actual damages which the Agency shall sustain in the event of, and by reason of, such failure; and it is therefore agreed that the Vendor shall pay the Agency for such failures at the sole discretion of the Agency according to the following subsections (unless these damages are waived by Medicaid).

1. Requirement: All requirements/deliverables identified in Sections 2 and 3.

   Liquidated Damages: Medicaid shall assess damages in the amount of five hundred dollars ($500.00) per working day or any part thereof after the day identified in the individual sections that the requirement/deliverable is not met.

2. Requirement: Medicaid may identify any other condition resulting from the Vendor non-compliance with the RFP and contract through routine monitoring activities. Medicaid will notify the Vendor in writing of the non-compliance and designate a reasonable time for correction of the non-compliance.

   Liquidated Damages: Damages in the amount of two hundred dollars ($200.00) shall be assessed for each working day or any part thereof after the designated time for correction until the correction of the noncompliance.

3. Requirement: Personnel proposed for the project must be committed and significantly engaged with the project. Inexperienced personnel must not be substituted for the proposed personnel. Should specific personnel proposed by the Vendor not be available, or if Medicaid determines that key personnel are not providing an adequate amount of time onsite or are not performing in accordance with Medicaid's expectations, Medicaid reserves the right to cancel the project and all prior agreements with the Vendor. Medicaid shall allow the Vendor reasonable time to replace key personnel not to exceed four weeks from the date Medicaid was notified of the personnel loss.

   Liquidated Damages: Medicaid reserves the right to impose liquidated damages of up to 10 percent of the total proposed project price should specific personnel proposed by the Vendor not be available, or become materially absent during the course of the project.

4. Requirement: All DDI work must be completed by December 31, 2015 in order for the Agency to receive the 90 percent enhanced funding from CMS.

   Liquidated Damages: In the event the Vendor has not completed all DDI work by the December 2015 deadline; the Vendor will responsible for damages equal to the amount of enhanced funding lost by the Agency. For example, if the FFP is reduced from 90 percent to 75 percent; the Vendor is responsible for the 15 percent difference up to the limit of liability.

Written notification of each failure to meet contractual requirements shall be given to the Vendor. The imposition of liquidated damages is not in lieu of any other remedy available to the Agency. The Agency shall withhold from the Vendor reimbursements amounts necessary to satisfy any damages imposed.

A decision by the Agency not to exercise this damage clause in a particular instance shall not be construed as a waiver of the Agency's right to pursue future assessment of that performance requirement and associated damages. The Agency may, at its sole discretion, return all or a portion of any liquidated damages collected, as an incentive to the Vendor for prompt and lasting correction of performance problems.

6.9.2 Payment of Damages

Amounts owed the Agency due to liquidated damages shall be deducted by the Agency from any money payable to the Vendor pursuant to this Contract. These amounts may be deducted from any actual damages claimed by the Agency in the event of litigation for non-compliance and default.

6.9.3 Limitation of Liability

The Agency's remedies and the Vendor's direct liability to the Agency shall be limited to one and a half times the value of the Contract. This limitation shall not apply to tangible property damage or personal injury. The limitation of liability is applicable solely to the Vendor's direct liability to the Agency. Nothing in this section shall be construed as limiting the Vendor's obligation to indemnify the Agency as expressed in Section 6.5.9 of this RFP. The Vendor understands and agrees that its obligation to indemnify the Agency as expressed in the Section 6.5.9 of this RFP is not subject to this limitation.

6.10 Other Requirements

6.10.1 The Vendor's Liaison

The Vendor's Account Manager shall serve as liaison and shall be available and responsible, as the need arises, for consultation and assistance with the Agency personnel; he/she shall attend, upon request, Agency meetings, meetings and hearings of legislative committees and interested governmental bodies, agencies, and officers; and he/she shall provide timely and informed responses to operational and administrative problems whenever arising in administration of the Alabama Medicaid Program. Whenever the Account Manager is not available, the Vendor shall provide a designated alternate that is fully capable of meeting the requirements of this section.

6.10.2 Recipient Subsystem Deputy Project Manager

The Agency's Recipient Subsystem Deputy Project Manager shall be responsible for coordination of implementation activities with the Vendor. Said Recipient Subsystem Deputy Project Manager, his/her designee(s), and Agency implementation personnel shall have reasonable access to the Vendor's project personnel, facilities, and records for evaluating the quality, appropriateness, and timeliness of deliverables. The Recipient Subsystem Deputy Project Manager shall have authority on a reasonable basis to call meetings with the Vendor's Account Manager or designee and project personnel, as required, and to assign appropriate technical personnel of the Agency to work with designated staff of the Vendor.

6.10.3 Financial Disclosure Statement

The successful Vendor shall be required to complete a financial disclosure statement with the executed contract.

6.10.4 Inspection of Work Performed

The Agency or its authorized representative shall have the right to enter into the premises of the Vendor and all subcontractors, or such other places where duties under the contract are being performed, to inspect, monitor or otherwise the work being performed. All inspections and evaluations shall be performed in such a manner as will not unduly delay work.

6.10.5 Survival

The terms, provisions, representatives, and warranties contained in the contract shall survive the development and submission of all required deliverables and the payment of the purchase price thereof.

6.10.6 Amendments in Writing

After the award of the contract, no amendment to this contract shall be effective unless it is in writing and signed by duly authorized representatives of the Vendor and Medicaid.

6.10.7 Severability

If any provision of the contract (including terms incorporated by reference) is declared or found to be illegal, unenforceable, or void, then both Medicaid and the Vendor must be relived of all obligations arising under such provision; if the remainder of the contract is capable of performance, it shall not, at the sole option of Medicaid, be affected by such declaration or finding and shall be fully performed.

6.10.8 Choice of Law

The construction, interpretation, and enforcement of this contract shall be governed by the substantive contract law of the State of Alabama without regard to its conflict of law provisions. In the event any provision of this contract is unenforceable as a matter of law, the remaining provisions will remain in full force and effect.

6.10.9 Effective Date

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

6.10.10 Authority

Each party has full power and authority to enter into and perform this contract, and the person signing this agreement has been properly authorized and empowered to enter into this contract. Each party further acknowledges that it has read this contract, understands it, and agrees to be bound by it.

7 FORMS

The following forms support the procurement and submission of the proposal:

- Form A – RFP Checklist
- Form B – Proposal Compliance Checklist
- Form C – Intent to Attend Pre-Proposal Conference
- Form D – Requirements Response Matrix
- Form E – RFP Proposal Sheet
- Form F – Price Schedule I
- Form G – Price Schedule II
- From H – Price Schedule III
- Form I – Price Schedule IV
- Form J – Price Schedule V
- Form K – Price Schedule VI
- Form L – Price Schedule VII
- Form M – Price Schedule VIII
- Form N – Option 1 - Outsourcing
    - Form N-1 – Price Schedule I
    - Form N-2 – Price Schedule II
    - From N-3 – Price Schedule III
    - Form N-4 – Price Schedule IV
    - Form N - 5 – Price Schedule V
    - Form N-6 – Price Schedule VI
    - Form N-7 – Price Schedule VII
    - Form N-8 – Price Schedule VIII
- Form O – Option 2
- Form P - Disclosure Statement

- Form Q – Business Experience Matrix

FORM A – RFP CHECKLIST

1. ____ **Read the *entire* document.** Note critical items such as: mandatory requirements; supplies/services required; submittal dates; number of copies required for submittal; licensing requirements; contract requirements (e.g. contract performance security, insurance requirements, performance and/or reporting requirements, etc.).

2. ____ **Note the project manager's name, address, phone numbers, and email address.** This is the only person the Vendor is allowed to communicate with regarding the RFP and is an excellent source of information for any questions that arise.

3. ____ **Take advantage of the "question and answer" period.** Submit questions to the project manager by the due date(s) listed in the Table 1 Procurement Timetable and view the answers as posted on the Web (place link here when available). All addenda issued for the RFP are posted on the State's web site and will include all questions asked and answered concerning the Request for Proposal (RFP).

4. ____ **Use the forms provided**, such as cover sheet, disclosure form, etc.

5. ____ **Check the State's web site for RFP addenda.** It is the Vendor's responsibility to check the State's web site at www.medicaid.alabama.gov for any addenda issued for this RFP, no further notification will be provided. Vendors must submit a signed cover sheet for each addendum issued along with the RFP response.

6. ____ **Review and read the RFP document again** to make sure that all requirements have been addressed. The original response and the requested copies must be identical and be complete. The copies are provided to the Evaluation Committee members and will be used to score the response.

7. ____ **Submit the response on time.** Note all the dates and times listed in the Table 1 Procurement Timetable and within the document, and be sure to submit all required items on time. Late proposal responses are ***never*** accepted.

This checklist is provided for assistance only and shall not be submitted with Vendor's Response.

FORM B – PROPOSAL COMPLIANCE CHECKLIST

NOTICE TO VENDOR:
It is highly encouraged that the following checklist be used to verify completeness of Proposal content. **It is not required to submit this checklist with your proposal.**

Vendor Name

Project Director Review Date

*Proposals for which **ALL** applicable items are marked by the Project Director are determined to be compliant for responsive proposals.*

☒ IF CORRECT	BASIC PROPOSAL REQUIREMENTS
☐	1. Vendor's original proposal received on time at correct location.
☐	2. Vendor submitted the specified copies of proposal and in electronic format.
☐	3. The Proposal includes a completed and signed RFP Cover Sheet.
☐	4. The Proposal is a complete and independent document, with no references to external documents or resources.
☐	5. Vendor submitted signed acknowledgement of any and all addenda to RFP.
☐	6. The Proposal includes written confirmation that the Vendor understands and shall comply with all of the provisions of the RFP.
☐	7. The Proposal includes required client references (with all identifying information in specified format and order).
☐	8. The Proposal includes a corporate background.
☐	9. The Proposal includes a detailed description of the plan to manage, redesign, develop, and implement the new Eligibility Determination System of the Alabama Medicaid Management Information System (AMMIS) as outlined in the request for proposal regarding each element listed in the scope of work.
☐	10. The response includes (if applicable) a Certificate of Authority or letter/form showing application has been made with the Secretary of State for a Certificate of Authority.

FORM C – INTENT TO ATTEND PRE-PROPOSAL CONFERENCE NOTIFICATION

This form acknowledges that _____ (company name) intends to attend the Pre-Proposal Vendor's Conference for the Eligibility Determination System RFP. This conference is **mandatory** for all vendors that will be submitting a response to the RFP. This sheet must be received at least five (5) business days in advance of the conference.

COMPANY NAME

_____

REPRESENTATIVE'S NAME (List all attending. Agency must be notified in advance of changes in representation)

_____

_____

_____

_____

_____

_____

_____

COMPANY ADDRESS

_____

_____

Phone: _____

FAX: _____

Email: _____

Date: _____

FORM D – REQUIREMENTS RESPONSE MATRIX

The following Requirements Response Matrix must be used to address every requirement listed in Appendix E:

PLEASE SUBMIT THE MATRIX ON AN EXCEL SPREADSHEET! (Excel Spreadsheet may be submitted in PDF)

Requirements Response Matrix

KEY	Requirement	A	B	C	D	E	F
59784	The system will be red	Y	N				
59785	The system will be white	Y	Y				
59786	The system will be blue	N	N				
59787		Y	Y				

Complete the columns in the Requirements Response Matrix above by using the following instructions for each column.

Instructions for Completion of Matrix

COLUMN	DESCRIPTION	VALUE
KEY	**Enter the number assigned to each requirement**	**Numeric**
Requirement	**Enter the actual requirement as stated in Appendix E**	**Alpha/numeric**
A	**Agree to meet the requirement as stated**	**Y/N**
B	**Existing capability**	**Y/N**
C	**Percentage existing capability meets requirement**	**%**
D	**<u>Required entry for responses with a "No" in Column B</u>** **Requirement will be met with system modification (SM) of an existing solution or will be met with new development (ND)**	**SM or ND**
E	**<u>Required entry for responses with a "No" in Column B</u>** **DDI Hours to meet requirement as stated**	**# of DDI Hours**
F	**Reference to Proposal Section for proposed solution**	**Hyperlink to location in proposal**

Note: The reference requirement number in the example below will be used to track the requirement throughout the project. This number is referred to as the “key” at the end of each requirement listed in Appendix E as reflected in the example below:

> The system shall be a comprehensive automated case management tool that meets the needs of all staff (including workers and their supervisors, whether employed by the State, County, or contracted private providers). **Key: 59784** XRef: CAS1

For all requirements, column A in the matrix above must be marked “Y” in order to be considered responsive.

System modifications shall explain the type of modification (i.e., change rules engine or modification/addition to system code). The level of effort will be determined by # of hours estimated in column D. The proposal description referenced by Column E shall have a description of how the requirement will be met.

System Requirements are grouped for organizational purposes only. Requirements may apply to more than one domain, business unit, workers, program, etc., whether or not specifically stated.

FORM E – RFP PROPOSAL SHEET

ALABAMA MEDICAID AGENCY
REQUEST FOR PROPOSALS

RFP Number: 2011-RSMP-001	**RFP Title:**
RFP Due Date and Time:	**Number of Pages:**
PROCUREMENT INFORMATION	
Project Director:	**Issue Date:**
Phone: **Email Address:** **Web site: http://www.medicaid.alabama.gov**	**Issuing Division:**
INSTRUCTIONS TO VENDORS	
Return Proposal to: ***Alabama Medicaid Agency*** **Lurleen B. Wallace Building** **501 Dexter Avenue** **PO Box 5624** ***Montgomery, AL 36103-5624***	**Mark Face of Envelope/Package:** *RFP Number:* 2011-RSMP-001 **RFP Due Date:** **Firm and Fixed Price for Contract**
VENDOR INFORMATION ***(Vendor must complete the following and return with RFP response)***	
Vendor Name/Address:	Authorized Vendor Signatory: (Please print name and sign in ink)
Vendor Phone Number:	Vendor FAX Number:
Vendor Federal I.D. Number:	Vendor Email Address:

FORM F – PRICE SCHEDULE I

DDI LABOR

Staff by Title	# of Staff	Rate Per Hour	Est. Hours	Extended Price

Grand Total: Staff_____ Hours_____ Price_____*

Grand Total Price from Schedule I must be transferred to and agree with Grand Total Price listed on line 1 of Price Schedule VIII.:_____"

NAME OF AUTHORIZED VENDOR REPRESENTED (Printed) TITLE

SIGNATURE OF AUTHORIZED VENDOR REPRESENTED DATE

FORM G – PRICE SCHEDULE II

ITEM #	DELIVERABLE NAME	FIXED TOTAL PRICE
	All deliverables must be "Approved" by the Recipient Subsystem Project Manager and/or the Executive Steering Committee before payment is made to the awarded Vendor on a deliverable. Staff resource hours worked for startup, planning, meetings, training, research, and other ongoing project activities are computed separately based on the Vendor's employee's actual hours worked. See 6.8 for details on invoicing for employee hours. The deliverables below are to be priced based on the Vendor's proposal for the final approved deliverable.	
1	Project Planning	
1.1	Project Plan V1	
1.2	Updated Project Plan	
2	Project Assessment & Control	
2.1	Weekly Project Status Reports	
2.2	Corrective Action Plan	
3	Decision Management	
3.1	Decision Management Plan	
3.2	Decision Outcomes	
4	Risk Management	
4.1	Risk Management Plan	
4.2	Lessons Learned	
5	Configuration Management	
5.1	Configuration Management Plan	
6	Requirements Analysis & Management	

ITEM #	DELIVERABLE NAME	FIXED TOTAL PRICE
6.1	Requirements Documentation	
6.2	Requirements Validation and Traceability Plan	
6.3	Requirement Change Control Plan	
6.4	Requirements Traceability Matrix	
7	Conceptual Architectural Design	
7.1	Conceptual Architectural Design Methodology and Session Plan	
7.2	Conceptual Architectural System Design	
7.3	Business Rules Plan	
7.4	Workflow Plan	
8	Detail Design	
8.1	Detail System Design Session Plan	
8.2	Detail System Design Document	
8.3	Business Rules Design	
8.4	Interface Detail Design	
8.5	Forms, Notifications and Templates	
8.6	Alerts Detail Design	
8.7	Reports Detail Design	
9	Security	
9.1	Security Design Document	
9.2	User Access Security Plan	
10	Continuity of Operations	
10.1	Disaster Recovery Plan	
11	Knowledge Management	

ITEM #	DELIVERABLE NAME	FIXED TOTAL PRICE
11.1	Knowledge Management Strategy	
11.2	Comprehensive Knowledge Management Plan	
11.3	End User Environment(s)	
11.4	Instructional Materials V1 and *V2	
11.5	Online User Aids	
11.6	Knowledge Management Progress Report	
11.7	Knowledge Management Final Report	
11.8	Project Staff Preparation Plan	
12	Organization Change Management	
12.1	Comprehensive Change Management and Communication Plan	
13	Data Conversion	
13.1	Data Conversion and Migration Strategy	
13.2	Data Conversion and Migration Plan	
13.3	Data Cleanup Plan	
13.4	Data Conversion and Migration Results	
14	Development	
14.1	Software Development Plan	
14.2	Weekly Construction Summary Report	
14.3	Development Library	
15	System Integration	
15.1	System Integration Strategy	
15.2	System Integration Plan	
16	System Implementation	

ITEM #	DELIVERABLE NAME	FIXED TOTAL PRICE
16.1	Hardware and Software Plan	
16.2	Pilot Implementation Plan	
16.3	Pilot Support and Operations Plan	
16.4	Pilot Test and Analysis	
16.5	Statewide Implementation Plan	
16.6	Network & Desktop and Production Requirements	
16.7	Final Readiness Assessment	
17	Testing	
17.1	Master Test Plan	
17.2	Unit and Integration Test Plan and Documentation	
17.3	System Test Plan	
17.4	Interface Test Plan	
17.5	Performance, Volume and Stress Test Plan	
17.6	Conversion and Migration Test Plan	
17.7	System Test Scripts	
17.8	Testing Results Weekly Report	
17.9	Conversion and Migration Weekly Test Results Report	
17.10	Performance Monitoring Plan and Weekly Report	
17.11	Operational Readiness Report	
18	Quality Assurance	
18.1	Quality Assurance Plan	
18.2	Quality Assurance Reviews	
19	Software Verification	

ITEM #	DELIVERABLE NAME	FIXED TOTAL PRICE
	No associated deliverable	
20	Software Validation	
	No associated deliverable	
21	Software Reviews	
	No associated deliverable	
22	Software Problem Resolution Process	
22.1	Software Resolution Plan	
23	User Acceptance Testing	
23.1	UAT Test Environment and Tools	
23.2	Weekly UAT Status Reports	
23.3	Operational Readiness Report	
24	Software Implementation Process	
	No associated deliverable – however this is where most of the plan execution will occur.	
25	Transition and Stabilization Maintenance	
25.1	Transition Plan	
25.2	Post-Implementation Evaluations	
25.3	System Updated Documentation	
26	Document Management	
26.1	Document Management Plan	
27	Operations	
27.1	Operating Procedures	
27.2	Help Desk Transition Plan	
27.3	Help Desk Plan, Public Facing Help Desk Plan	

ITEM #	DELIVERABLE NAME	FIXED TOTAL PRICE
27.4	Help Desk Procedures Manual	
28	Federal Review and Certification	
281	Assist with Federal Review	

Grand Total: Deliverable Price_____*

Grand Total Price on Schedule II must be transferred to and agree with Grand Total Price from Schedule listed on the bottom of Price Schedule VIII as RFP Line Item #2.

NAME OF AUTHORIZED VENDOR REPRESENTED (Printed) TITLE

SIGNATURE OF AUTHORIZED VENDOR REPRESENTED DATE

FORM H – PRICE SCHEDULE III

Hardware/Software				
Contract Year	Description	Quantity	Unit Price	Total Price

Grand Total: Price_____*

Grand Total Price on Schedule III must be transferred to and agree with Grand Total Price from Schedule listed on Price Schedule VIII as RFP Line Item #3.

NAME OF AUTHORIZED VENDOR REPRESENTED (Printed) TITLE

SIGNATURE OF AUTHORIZED VENDOR REPRESENTED DATE

FORM I – PRICE SCHEDULE IV

Software Licensing				
Contract Year Needed	Description (specify terms & options)	Quantity	Unit Price	Total Price

Grand Total: Price_____*

Grand Total Price on Schedule IV must be transferred to and agree with Grand Total Price from Schedule listed on Price Schedule VIII as RFP Line Item 4.

NAME OF AUTHORIZED VENDOR REPRESENTED (Printed) TITLE

SIGNATURE OF AUTHORIZED VENDOR REPRESENTED DATE

FORM J – PRICE SCHEDULE V

Software Maintenance Support				
Description	Frequency	Quantity	Unit Price	Total Price

Grand Total: Price_____*

Grand Total Price on Schedule V must be transferred to and agree with Grand Total Price from Schedule listed on the bottom of Price Schedule VIII as RFP Line Item #5.

NAME OF AUTHORIZED VENDOR REPRESENTED (Printed) TITLE

SIGNATURE OF AUTHORIZED VENDOR REPRESENTED DATE

FORM K – PRICE SCHEDULE VI

Stabilization Period					
Contract Year Needed	Staff by Title	# of Staff	Rate Per Hour	Est. Hours	Extended Price
Total					

Ongoing Operations Optional (per year)					
Contract Year Needed	Staff by Title	# of Staff	Rate Per Hour	Est. Hours	Extended Price
Total					

Grand Total: Staff_____ Hours_____ Price_____*

Grand Total Price on Schedule VI must be transferred to and agree with Grand Total Price from Schedule listed on the bottom of Price Schedule VIII as RFP Line Item #6.

NAME OF AUTHORIZED VENDOR REPRESENTED (Printed)	TITLE
SIGNATURE OF AUTHORIZED VENDOR REPRESENTED	DATE

FORM L – PRICE SCHEDULE VII

Other Implementation Costs				
Contract Year Needed	Description	Quantity	Unit Cost	Total Cost

Grand Total: _____*

Grand Total Price on Schedule VII must be transferred to and agree with Grand Total Price from Schedule listed on the bottom of Price Schedule VIII as RFP Line Item #7.

NAME OF AUTHORIZED VENDOR REPRESENTED (Printed) TITLE

SIGNATURE OF AUTHORIZED VENDOR REPRESENTED DATE

FORM M – PRICE SCHEDULE VIII

Pricing Schedule Summary		
Line #	Description	Grand Total Price
1	Labor	
2	Deliverables	
3	Hardware/Software	
4	Software Licenses	
5	Software maintenance Support	
6	Stabilization and Ongoing Operations	
7	Other Implementation Costs	
	Grand Total Cost	

Summary Grand Total: Price_____*

NAME OF AUTHORIZED VENDOR REPRESENTED (Printed) TITLE

SIGNATURE OF AUTHORIZED VENDOR REPRESENTED DATE

FORM N – OPTION 1 PRICING SHEET OUTSOURCING

Vendors shall complete Form N-1 through N-8 in reference to system outsourcing.

FORM N-1 – PRICE SCHEDULE I

DDI LABOR

Staff by Title	# of Staff	Rate Per Hour	Est. Hours	Extended Price

Grand Total: Staff_____ Hours_____ Price_____*

Grand Total Price from Form N-1 must be transferred to and agree with Grand Total Price listed on line 1 of From N-8I.:_____"

NAME OF AUTHORIZED VENDOR REPRESENTED (Printed) TITLE

SIGNATURE OF AUTHORIZED VENDOR REPRESENTED DATE

FORM N-2 – PRICE SCHEDULE II

ITEM #	DELIVERABLE NAME	FIXED TOTAL PRICE
	All deliverables must be "Approved" by the Recipient Subsystem Project Manager and/or the Executive Steering Committee before payment is made to the awarded Vendor on a deliverable. Staff resource hours worked for startup, planning, meetings, training, research, and other ongoing project activities are computed separately based on the Vendor's employee's actual hours worked. See 6.8 for details on invoicing for employee hours. The deliverables below are to be priced based on the Vendor's proposal for the final approved deliverable.	
1	Project Planning	
1.1	Project Plan V1	
1.2	Updated Project Plan	
2	Project Assessment & Control	
2.1	Weekly Project Status Reports	
2.2	Corrective Action Plan	
3	Decision Management	
3.1	Decision Management Plan	
3.2	Decision Outcomes	
4	Risk Management	
4.1	Risk Management Plan	
4.2	Lessons Learned	
5	Configuration Management	
5.1	Configuration Management Plan	
6	Requirements Analysis & Management	

ITEM #	DELIVERABLE NAME	FIXED TOTAL PRICE
6.1	Requirements Documentation	
6.2	Requirements Validation and Traceability Plan	
6.3	Requirement Change Control Plan	
6.4	Requirements Traceability Matrix	
7	Conceptual Architectural Design	
7.1	Conceptual Architectural Design Methodology and Session Plan	
7.2	Conceptual Architectural System Design	
7.3	Business Rules Plan	
7.4	Workflow Plan	
8	Detail Design	
8.1	Detail System Design Session Plan	
8.2	Detail System Design Document	
8.3	Business Rules Design	
8.4	Interface Detail Design	
8.5	Forms, Notifications and Templates	
8.6	Alerts Detail Design	
8.7	Reports Detail Design	
9	Security	
9.1	Security Design Document	
9.2	User Access Security Plan	
10	Continuity of Operations	
10.1	Disaster Recovery Plan	
11	Knowledge Management	

ITEM #	DELIVERABLE NAME	FIXED TOTAL PRICE
11.1	Knowledge Management Strategy	
11.2	Comprehensive Knowledge Management Plan	
11.3	End User Environment(s)	
11.4	Instructional Materials V1 and *V2	
11.5	Online User Aids	
11.6	Knowledge Management Progress Report	
11.7	Knowledge Management Final Report	
11.8	Project Staff Preparation Plan	
12	Organization Change Management	
12.1	Comprehensive Change Management and Communication Plan	
13	Data Conversion	
13.1	Data Conversion and Migration Strategy	
13.2	Data Conversion and Migration Plan	
13.3	Data Cleanup Plan	
13.4	Data Conversion and Migration Results	
14	Development	
14.1	Software Development Plan	
14.2	Weekly Construction Summary Report	
14.3	Development Library	
15	System Integration	
15.1	System Integration Strategy	
15.2	System Integration Plan	
16	System Implementation	

ITEM #	DELIVERABLE NAME	FIXED TOTAL PRICE
16.1	Hardware and Software Plan	
16.2	Pilot Implementation Plan	
16.3	Pilot Support and Operations Plan	
16.4	Pilot Test and Analysis	
16.5	Statewide Implementation Plan	
16.6	Network & Desktop and Production Requirements	
16.7	Final Readiness Assessment	
17	Testing	
17.1	Master Test Plan	
17.2	Unit and Integration Test Plan and Documentation	
17.3	System Test Plan	
17.4	Interface Test Plan	
17.5	Performance, Volume and Stress Test Plan	
17.6	Conversion and Migration Test Plan	
17.7	System Test Scripts	
17.8	Testing Results Weekly Report	
17.9	Conversion and Migration Weekly Test Results Report	
17.10	Performance Monitoring Plan and Weekly Report	
17.11	Operational Readiness Report	
18	Quality Assurance	
18.1	Quality Assurance Plan	
18.2	Quality Assurance Reviews	
19	Software Verification	

ITEM #	DELIVERABLE NAME	FIXED TOTAL PRICE
	No associated deliverable	
20	Software Validation	
	No associated deliverable	
21	Software Reviews	
	No associated deliverable	
22	Software Problem Resolution Process	
22.1	Software Resolution Plan	
23	User Acceptance Testing	
23.1	UAT Test Environment and Tools	
23.2	Weekly UAT Status Reports	
23.3	Operational Readiness Report	
24	Software Implementation Process	
	No associated deliverable – however this is where most of the plan execution will occur.	
25	Transition and Stabilization Maintenance	
25.1	Transition Plan	
25.2	Post-Implementation Evaluations	
25.3	System Updated Documentation	
26	Document Management	
26.1	Document Management Plan	
27	Operations	
27.1	Operating Procedures	
27.2	Help Desk Transition Plan	
27.3	Help Desk Plan, Public Facing Help Desk Plan	

ITEM #	DELIVERABLE NAME	FIXED TOTAL PRICE
27.4	Help Desk Procedures Manual	
28	Federal Review and Certification	
281	Assist with Federal Review	

Grand Total: Deliverable Price_____*

Grand Total Price on Form N-2 must be transferred to and agree with Grand Total Price from Schedule listed on the bottom of Form N-8 as RFP Line Item #2.

NAME OF AUTHORIZED VENDOR REPRESENTED (Printed) TITLE

SIGNATURE OF AUTHORIZED VENDOR REPRESENTED DATE

FORM N-3 – PRICE SCHEDULE III

Hardware/Software				
Contract Year	Description	Quantity	Unit Price	Total Price

Grand Total: Price_____*

Grand Total Price on Form N-3 must be transferred to and agree with Grand Total Price from Schedule listed on Form N-8 as RFP Line Item #3.

NAME OF AUTHORIZED VENDOR REPRESENTED (Printed) TITLE

SIGNATURE OF AUTHORIZED VENDOR REPRESENTED DATE

FORM N-4 – PRICE SCHEDULE IV

Software Licensing				
Contract Year Needed	Description (specify terms & options)	Quantity	Unit Price	Total Price

Grand Total: Price_____*

Grand Total Price on Form N-4 must be transferred to and agree with Grand Total Price from Schedule listed on From N-8 as RFP Line Item 4.

NAME OF AUTHORIZED VENDOR REPRESENTED (Printed) TITLE

SIGNATURE OF AUTHORIZED VENDOR REPRESENTED DATE

FORM N-5 – PRICE SCHEDULE V

Software Maintenance Support				
Description	Frequency	Quantity	Unit Price	Total Price

Grand Total: Price_____*

Grand Total Price on Form N-5 must be transferred to and agree with Grand Total Price from Schedule listed on the bottom of Form N-8 as RFP Line Item #5.

NAME OF AUTHORIZED VENDOR REPRESENTED (Printed) TITLE

SIGNATURE OF AUTHORIZED VENDOR REPRESENTED DATE

FORM N-6 – PRICE SCHEDULE VI

Stabilization Period					
Contract Year Needed	Staff by Title	# of Staff	Rate Per Hour	Est. Hours	Extended Price
Total					

Ongoing Operations Optional (per year)					
Contract Year Needed	Staff by Title	# of Staff	Rate Per Hour	Est. Hours	Extended Price
Total					

Grand Total: Staff_____ Hours_____ Price_____*

Grand Total Price on From N-6 must be transferred to and agree with Grand Total Price from Schedule listed on the bottom of Form N-8 as RFP Line Item #6.

NAME OF AUTHORIZED VENDOR REPRESENTED (Printed)	TITLE

SIGNATURE OF AUTHORIZED VENDOR REPRESENTED	DATE

FORM N-7 – PRICE SCHEDULE VII

Other Implementation Costs				
Contract Year Needed	Description	Quantity	Unit Cost	Total Cost

Grand Total: _____*

Grand Total Price on Form N-7 must be transferred to and agree with Grand Total Price from Schedule listed on the bottom of Form N-8 as RFP Line Item #7.

NAME OF AUTHORIZED VENDOR REPRESENTED (Printed) TITLE

SIGNATURE OF AUTHORIZED VENDOR REPRESENTED DATE

FORM N-8 – PRICE SCHEDULE VIII

Pricing Schedule Summary		
Line #	Description	Grand Total Price
1	Labor	
2	Deliverables	
3	Hardware/Software	
4	Software Licenses	
5	Software maintenance Support	
6	Stabilization and Ongoing Operations	
7	Other Implementation Costs	
	Grand Total Cost	

Summary Grand Total: Price_____*

NAME OF AUTHORIZED VENDOR REPRESENTED (Printed) TITLE

SIGNATURE OF AUTHORIZED VENDOR REPRESENTED DATE

FORM O – OPTION 2 PRICING FORM

Staff by Title	Rate Per Hour

NAME OF AUTHORIZED VENDOR REPRESENTED (Printed) TITLE

SIGNATURE OF AUTHORIZED VENDOR REPRESENTED DATE

FORM P – DISCLOSURE STATEMENT

See the next page.

State of Alabama
Disclosure Statement

(Required by Act 2001-955)

ENTITY COMPLETING FORM

ADDRESS

CITY, STATE, ZIP | TELEPHONE NUMBER ( )

STATE AGENCY/DEPARTMENT THAT WILL RECEIVE GOODS, SERVICES, OR IS RESPONSIBLE FOR GRANT AWARD

ADDRESS

CITY, STATE, ZIP | TELEPHONE NUMBER ( )

This form is provided with:

☐ Contract ☐ Proposal ☐ Request for Proposal ☐ Invitation to Bid ☐ Grant Proposal

Have you or any of your partners, divisions, or any related business units previously performed work or provided goods to any State Agency/Department in the current or last fiscal year?

☐ Yes ☐ No

If yes, identify below the State Agency/Department that received the goods or services, the type(s) of goods or services previously provided, and the amount received for the provision of such goods or services.

STATE AGENCY/DEPARTMENT	TYPE OF GOODS/SERVICES	AMOUNT RECEIVED

Have you or any of your partners, divisions, or any related business units previously applied and received any grants from any State Agency/Department in the current or last fiscal year?

☐ Yes ☐ No

If yes, identify the State Agency/Department that awarded the grant, the date such grant was awarded, and the amount of the grant.

STATE AGENCY/DEPARTMENT	DATE GRANT AWARDED	AMOUNT OF GRANT

1. List below the name(s) and address(es) of all public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

NAME OF PUBLIC OFFICIAL/EMPLOYEE	ADDRESS	STATE DEPARTMENT/AGENCY

OVER

2. List below the name(s) and address(es) of all family members of public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the public officials/public employees and State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

NAME OF FAMILY MEMBER	ADDRESS	NAME OF PUBLIC OFFICIAL/ PUBLIC EMPLOYEE	STATE DEPARTMENT/ AGENCY WHERE EMPLOYED

If you identified individuals in items one and/or two above, describe in detail below the direct financial benefit to be gained by the public officials, public employees, and/or their family members as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

Describe in detail below any indirect financial benefits to be gained by any public official, public employee, and/or family members of the public official or public employee as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

List below the name(s) and address(es) of all paid consultants and/or lobbyists utilized to obtain the contract, proposal, request for proposal, invitation to bid, or grant proposal:

NAME OF PAID CONSULTANT/LOBBYIST	ADDRESS

By signing below, I certify under oath and penalty of perjury that all statements on or attached to this form are true and correct to the best of my knowledge. I further understand that a civil penalty of ten percent (10%) of the amount of the transaction, not to exceed $10,000.00, is applied for knowingly providing incorrect or misleading information.

Signature Date

Notary's Signature Date Date Notary Expires

Act 2001-955 requires the disclosure statement to be completed and filed with all proposals, bids, contracts, or grant proposals to the State of Alabama in excess of $5,000.

FORM Q – BUSINESS EXPERIENCE MATRIX

RS Modernization Project
Proposal Reference Summary

A	B	C	D	E	F	G	H	I	J
Project Name	**Mgmt? Yes/No**	**Summary**	**Start Date**	**End Date**	**On Time**	**On Budget**	**Litigation**	**Staff**	**Name, Title, Fax, Phone, Email**
1)									
2)									
3)									
4)									
5)									
6)									
7)									
8)									
9)									
10)									

APPENDIX A: GLOSSARY OF TERMS AND ACRONYMS

Term/Acronym	Definition
24/7	This is an abbreviation for "24 hours a day, 7 days a week" which, in the context of its use in the requirements, refers to service availability, i.e., "Self Service Web Portal" web site being available to the general public 24/7 with the exception of Agency-defined scheduled maintenance downtime. Therefore, 24/7 does not necessarily mean availability of a service at all times without interruption.
AB	Aid to the Blind
ACA	Patient Protection and Affordable Care Act
Accession	Augment or add to – synonyms: addition, augmentation, extension, increase
ADA	Americans with Disabilities Act
Ad Hoc Report	A report produced for a particular purpose and not intended to become a permanent reporting requirement; claim detail reporting in support of SURS is a part of normal SURS operations and is not included as an ad hoc report.
ADI	Web Applications Desktop Integrator (Web ADI) is a self–service Oracle application accessed using a browser
AFDC	Aid to Families with Dependent Children. This welfare cash assistance program was replaced by the TANF program in 1996.
Agency	Alabama Medicaid Agency
AIDS	Acquire Immune Deficiency Syndrome
AJAX	An acronym that stands for "Asynchronous JavaScript and XML". According to W3Schools.com (http://www.w3schools.com/Ajax/Default.Asp), it is defined as the art of exchanging data with a server, and update parts of a web page – without reloading the whole page.
AKA	Also known as
ALLKids	ALL Kids is the Children's Health Insurance Program offered by the Alabama Department of Public Health for children under age 19. ALL Kids is designed for children whose family earnings are too high to qualify for Medicaid but not enough to purchase individual health insurance.
AMAES	Alabama Medicaid Application and Eligibility System. The acronym that references the current recipient subsystem. This term is only used in that context for consistency in the requirements.
AMMIS	The Alabama Medicaid Management Information System consists of all subsystems of the AMMIS except the Recipient Subsystem. Currently it is the HP interChange MMIS system. The term interChange is used to reference this system for consistency in the requirements.
Alabama MMIS (aka AMMIS)	See definition for AMMIS above.
AMMIS-RS	Alabama Medicaid Management Information System Recipient Subsystem
ANSI	American National Standards Institute
APD	Advance Planning Document
API	Application Program Interface
Applicant	A person applying for Medicaid benefits.
Applicant/eligible	An applicant or existing beneficiary (this will replace client throughout).
ASP.NET	ASASP.NET is a web application framework developed and marketed by

Term/Acronym	Definition
	Microsoft to allow programmers to build dynamic web sites, web applications and web services.
AVRS	Automated Voice Response System
Batch Window Availability	A reference to the percentage of time between 7:00 PM and 7:00 AM. EST, Monday through Friday, that the host computer system and supported applications are available for processing batch functions.
BENDEX	Beneficiary Data Exchange system; BENDEX is a data exchange between the State and the Social Security Administration (SSA). It provides SSA payment status and amount and Medicare data.
Beneficiary	A person receiving medical assistance from the Alabama Medicaid Agency.
BPR	Business Process Reengineering
Business Logic Tier	Also referred to as the business logic layer, domain layer usually resides in either the application or on occasion the persistence tier of a multi-tier architecture. In an application with a properly separated business logic layer and data access layer, the data access layer can be rewritten to retrieve data from a different database, without affecting any of the business logic.
C#	C Sharp
Capture	Involves scanning, digitizing, copying or linking, optionally cleaning and index/classifying documents to obtain and organize information.
CBT	Computer Based Training
CCB	Change Control Board
CD	Compact Disc
CFR	Code of Federal Regulations
Central Data Validation Function	A single access point for verification of public and program information sources. The Centralized Data Validation Function performs a verification consolidation function in which the information sources are brought together and presented as a unified set to the case worker. This feature is the reverse of a decentralized function in which the case worker performs the consolidation tasks by accessing a discrete series of disparate information sites and sources.
Checklists	A summary list of all the data elements or documents that are required to complete a business process.
CHIP	Children's Health Insurance Program
CICS	Customer Information Control System
CMM-I	Capability Maturity Model Integration
CMPPA	Computer Matching and Privacy Protection Act of 1988
CMS	Centers for Medicare & Medicaid Services
COLA	Cost of Living Allowance
Contractor	Contractor and Vendor are generally used interchangeably within this document. The Contractor refers to the Vendor to whom the Agency has awarded the contract for this RFP.
COTS	Commercial Off-the-Shelf: Technology which is ready-made and available for sale, lease, or license to the general public.
CPU	Central Processing Unit
CROCS	Comprehensive Recipient Online Collections System
CSD	Certification Support Division

Term/Acronym	Definition
Cut-Off	Indicates start of retention. A cut-off instruction is a set of rules that initiates the cut-off for a record/group of records. It means a record enters the retention and disposition lifecycle only after the cut-off occurs.
Dashboard control report	A management report used to display in real-time numeric key performance indicators (KPIs) to track trends aligned with key business goals and activities.
Dashboard report	A visual presentation of numeric key performance indicators that are used to track trends aligned with key business goals and activities.
DB2	DB2 is a family of relational database management system (RDBMS) products from IBM that serve a number of different operating platforms.
DDI	Design, Development, and Implementation
DED	Data Element Dictionary
Delivery	Presents information from the “manage, store, and preserve” components and contains functions used to enter information in systems or reading information for the store and preserve component.
DHR	Department of Human Resources
DIFSLA	Disclosure of Information to Federal, State, and Local Agencies
DIR	Department of Industrial Relations
DMH	Department of Mental Health
DOI	Department of Insurance
DPH	Department of Public Health
DPS	Department of Public Safety
DRS	Department of Rehabilitation Services
DSD	Detail System Design
DSS	Decision Support System. A repository of the AMMIS for historical and current transaction data designed to facilitate reporting and analysis.
DVD	Digital Video Disc
DYS	Department of Youth Services
E&D	Elderly and Disabled
EAI	Enterprise Application Integration
EDB	Enrollment Database: Medicare’s Enrollment Database. This is the authoritative source for all Medicare entitlement information. This database contains information on all individuals entitled to Medicare, including demographic information, enrollment dates, third party buy-in information, and Medicare managed care enrollment.
EDI	Electronic Data Interchange
EDS	Electronic Data Systems is now owned by Hewlett Packard Company and is Alabama’s Fiscal Agent for the MMIS. See “interChange” below.
Electronic Case File	An online grouping of documents tied to a beneficiary that allows the worker to access current and historical information, enter information gathered, perform maintenance activities, determine online program eligibility, and view summary information. Replaces the term Electronic Case Record.
Enterprise Content Management (ECM)	The strategies, methods, and tools used to capture, manage, store, preserve, and deliver content and documents related to organizational processes. (source: AIIM.org)
EPA	Environmental Protection Agency

Term/Acronym	Definition
EPSDT	Early and Periodic Screening, Diagnosis, and Treatment
EPSS	Electronic Performance Support System
ESB	Enterprise Service Bus
ESIEM	Enterprise Security Information Event Management
ETC	Estimated Time to Complete
EVS	Eligibility Verification System
EVVE	Electronic Verification of Vital Events
Exception Rule Dependencies	The term was used as one example of a feature that could potentially be available to the worker to provide a GUI view of a business rule and the other business rules that it is dependent on including the exceptions that will occur if certain dependencies are not met.
Exparte	Whenever a change in circumstances causes an individual or a case to become ineligible for Medicaid a review of eligibility is completed to evaluate for Medicaid in any possible aid program/categories. This is referred to as an exparte review.
Facets	FACETS is TriZetto's enterprise-wide software solution for health plan administration.
FCD	Family Certification Division
FDA	Food and Drug Administration
FEIN	Federal Employee Identification Number
FFP	Federal Financial Participation
File	A collection of related data or program records stored on some input/output or auxiliary storage medium.
FIPS	Federal Information Processing Standards
FIPS PUB	Federal Information Processing Standards Publication
FISMA	Federal Information Security Management
FMAP	Federal Medical Assistance Percentage
FOIA	Freedom of Information Act
FPL	Federal Poverty Level
FY	Fiscal Year
GUI	Graphical User Interface
Freeze	A point and time where data can no longer be updated or files will not be archived.
General Public Access Hours	This term refers to the availability of the "Self Service Web Portal" web site which is 24 hours a day, seven days a week with the exception of Agency-defined scheduled maintenance downtime.
HBE	Health Benefit Exchange
HCBS	Home and Community Based Services
HIE	Health Information Exchange
HHS	United States Department of Health and Human Services
HIPAA	Health Insurance Portability and Accountability Act of 1996
HIPP	Health Insurance Premium Payment
HIS	Health Information System
HIV	Human Immunodeficiency Virus
HP	Hewlett Packard Enterprise Services

Term/Acronym	Definition
ID	Identification
IEEE	Institute of Electrical and Electronics Engineers
IEVS	Income Eligibility Verification System
IIS	Information Internet Server
Inbox	A folder that identifies the number of new unread messages sent to an email account.
InRule	InRule is a .NET solution for authoring, managing, and executing business rules. It is used to leverage decision logic across multiple processes and applications with catalog-driven rule management and rule authoring.
interChange	The term used to reference AMMIS and MMIS systems. Sometimes referred to as 'HP' or 'EDS' by the State Agency.
Interim Transfer	A temporary reassignment until a permanent assignment can be executed.
IRC	Internal Revenue Code
IRS	Internal Revenue Service
ISAM	Indexed Sequential Access Method
ISD	A reference to the Alabama State Information Services Division
IT	Information Technology
ITB	Invitation To Bid
ITF	Integrated Test Facility
IV&V	Independent Verification & Validation
JAR	Joint Application Requirements
JAD	Joint Application Development
JScript	A scripting language that is implemented as a Windows Script engine and is used in Microsoft's Internet Explorer.
KnowledgeLake	KnowledgeLake develops document imaging and capture products for Microsoft SharePoint based enterprise content management solutions. It enables end users to scan and index documents, then store them in the appropriate SharePoint repository in TIFF, PDF, PDF/A, searchable PDF, and XPS file formats.
LDAP	Lightweight Directory Access Protocol
Low Confidence Area	This term was used as one of the examples given of what a logging database could potentially be used for such as identifying areas in the system like tasks in the workflow management that are prone to worker errors.
LTC	Long-Term Care
Manage	Connects the five traditional application components of 1) document management, 2) collaboration, 3) web/portal content management, 4) records management, and 5) workflow/business process management that can be used in combination or separately.
MARS	Management Administrative Reporting Subsystem
MCI	Master Client Index
Medicaid Information Systems	A reference to the Alabama Medicaid Agency internal Information Services Division
MECMS	Medicaid Electronic Content management System project
MEQC	Medicaid Eligibility Quality Control
MES	Medicaid Eligibility Specialists
MITA	Medicaid Information Technology Architecture

Term/Acronym	Definition
MITA SS-A	MITA State Self-Assessment
MLIF	Medicaid for Low Income Families
MMA	Medicare Modernization Act
MMIS	Medicaid Management Information System. The MMIS in Alabama is also known as AMMIS (i.e., the Interchange system). See AMMIS and Alabama MMIS.
MS	Microsoft
MSIS	Medicaid Statistical Information System
MSP	Medicare Savings Programs
Multi-tier architecture	In software engineering, **multi-tier architecture** (often referred to as **N-Tier architecture**) is a layered architecture in which the system processes are logically (and/or optionally) physically separate. One of the most common tiered architectures is a three tier architecture consisting of a presentation, application (often referred to as business logic), and data management (often referred to as persistence layer or data access layer) tier. In addition to the three standard layers, Three-Layered Services Application defines a set of foundation services that all layers can use. These services fall into three basic categories: ▪ Security. These services maintain application security. ▪ Operational management. These services manage components and associated resources, and also meet operational requirements such as scalability and fault tolerance. ▪ Communication. These are services, such as .NET remoting, SOAP, and asynchronous messaging, which provide communication between components. In integration intensive systems it is not un-common to see the addition of a fourth integration tier
N-Tier	See multi-tier architecture
NASIRE	National Association of State Information Resource Executives
ND	New Development
NET	Non-Emergency Transportation
NIST	National Institute of Standards and Technology
Normal Business Hours or Regular Business Hours	A reference to Monday through Friday, 7:00 AM to 5:00 PM CST, with the exception of Alabama State Holidays. State noted that "*…it would eventually like to have "regular business hours" extended to 6:00 PM if possible, but that might not start at implementation. Then, if everything were consistently going well, the hours could be extended to 6:00 PM at some point after implementation.*"
Notification	A notice generated by the system to someone outside the system e.g., applicant/eligible, referral to another agency, etc.
NSS	Network & Systems Support
OCR	Optical Character Recognition
OASIS	OASIS stands for Organization for the Advancement of Structured Information Standards. According the web site, http://www.oasis-open.org/home/index.php, "*OASIS is a not-for-profit consortium that drives*

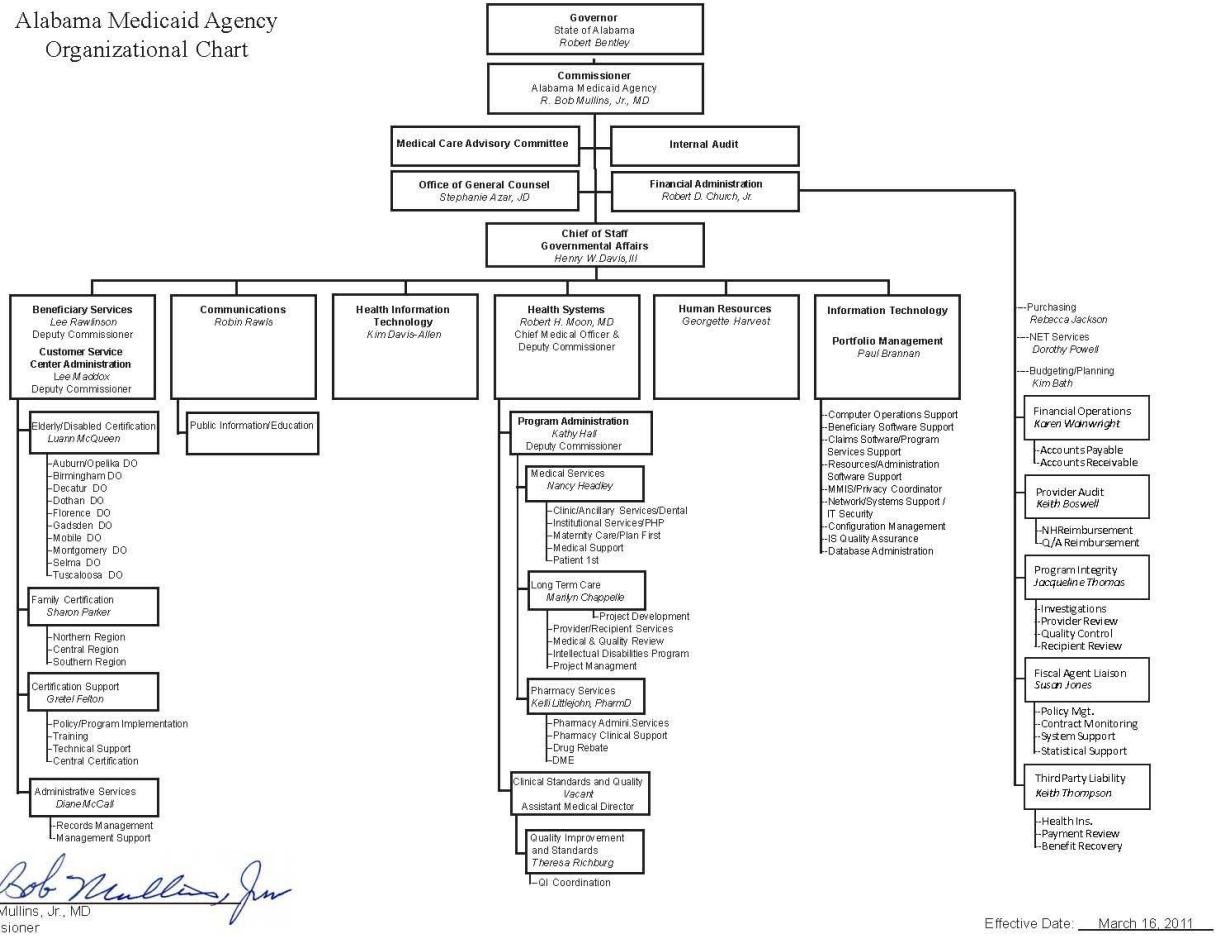
Term/Acronym	Definition
	the development, convergence and adoption of open standards for the global information society. The consortium produces more Web services standards than any other organization along with standards for security, e-business, and standardization efforts in the public sector and for application-specific markets. Founded in 1993, OASIS has more than 5,000 participants representing over 600 organizations and individual members in 100 countries".
OGC	Office of the General Counsel
OJT	On-The-Job-Training
OMB	Office of Management and Budget
One-Stop Shop	A centralized place such as the Worker Portal where eligibility staff is able to complete any intake, eligibility, enrollment, or ongoing case management activities. The One-Stop Shop is also a place where various services from participating Alabama State agencies are offered in one convenient portal to the general public – however this is not the purpose of the new Recipient Subsystem.
Online Availability	A reference to the percentage of time between 6:00 AM and 6:00 PM CST, Monday through Friday, that the host computer system and supported applications are available for online access. The period after Online availability hours will be referred to as the "Batch Window". The system will be available for Online processing during the Batch Window; performance may decline due to batch processing.
OS	Operating System
OSS	Online Single Sign-on
PA	Prior Authorization
PARIS	Public Assistance Reporting Information System
PC	Personal Computer
PDF	Portable Document Format
PERM	Payment Error Rate Measurement
Persistence Tier	The persistence tier (data access layer) provides access to permanent (persistent) storage of some kind often an entity or object relational database. Business logic methods from an application can be mapped to the Data Access Layer (DAL). So, for example, instead of making a query into a database to fetch all users from several tables the application can call a single method from a DAL which abstracts those database calls
PHI	Protected Health Information (PHI) is defined as individually identifiable health information that is transmitted by, or maintained in, electronic media or any other form or medium. Individually identifiable health information is information that is a subset of health information, including demographic information collected from an individual, and 1) is created or received by a healthcare provider, health plan, employer, or healthcare clearinghouse; and 2) related to the past, present, or future physical or mental health or condition of an individual; the provision of healthcare to an individual; or the past, present, or future payment for the provision of healthcare to an individual; (i) that 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.
PHP	Partnership Hospital Program or Primary Health Provider
PI	Program Integrity

Term/Acronym	Definition
PII	Personally Identifiable Information (PII) is defined as information: 1) that directly identifies an individual (e.g., name, address, social security number or other identifying number or code, telephone number, email, address, etc.), or 2) by which an agency intends to identify specific individuals in conjunction with other data elements, i.e., indirect identification. (These data elements may include a combination of gender, race, birth date, geographic indicator, and other descriptors.)
PIN	Personal Identification Number
Plan First	Family planning program
Presentation Tier	The presentation tier is responsible for providing the display and user interface. When multiple device support is required this layer may be split to include an integration layer that provides a framework to abstract device-specific functionality from the rest of the presentation tier.
Preserve	Involves handling the long-term, safe storage and backup static, infrequently changing information in the medium and long term.
PM	Project Manager
PMBOK	Project Management Body of Knowledge
PMI	Project Management Institute
PMO	Project Management Office
QA	Quality Assurance
Q and A (or Q/A)	Questions and Answers
QC	Quality Control
QMB	Qualified Medicare Beneficiary
Record	A group of related fields, or a single field, treated as a unit and comprising part of a file or data set, for purposes of input, processing, output, or storage by a computer.
Renewal Form	A recertification application.
Reports	A summary presentation of program data that is customized for a worker or management to help them make quick and effective decisions.
REST	Representational State Transfer (REST) is a style of software architecture for distributed hypermedia systems. The term Representational State Transfer was introduced and defined in 2000 by Roy Fielding.
RFP	Request for Proposal
RS	Recipient Subsystem
RS R&R	Recipient Subsystem Reengineering and Redesign Phase II Project
SAIL	State of Alabama Independent Living
SAVE	Systematic Alien Verification for Entitlements
SCHIP	State Children's Health Insurance Program
SCO	System Change Order
SDX	State Data Exchange: The State Data Exchange (SDX) provides detailed information about benefits received by Supplemental Security Income (SSI) applicants/recipients. It is used to verify SSI benefits in determining eligibility for various public assistance programs.
Session Affinity	A common approach for ensuring a highly scalable fault tolerant system is to cluster servers at each tier of the application architecture. This can create a challenge when the servers are state aware, e.g., information on page one of an application is on server one and when page two is requested server two in

Term/Acronym	Definition
	the cluster is unaware of this information, One solution to this problem is "sticky session" (aka "session affinity") where each user is assigned to a single server and his/her State data is contained on that server exclusively throughout the duration of the session.
SharePoint	Microsoft SharePoint is a software platform and a family of software products developed by Microsoft for collaboration, file sharing, and web publishing. Capabilities include developing web sites, portals, intranets, content management systems, search engines, wikis, blogs, and other tools for business intelligence.
SLMB	Specified Low-income Medicare Beneficiary
SM	System Modification
SME	Subject Matter Expert
SMM	State Medicaid Manual
SOA	Service Oriented Architecture
SOAP	Simple Object Access Protocol
SOBRA	Sixth Omnibus Budget Reconciliation Act
SOLQ	State Online Query
SOS	Secretary of State
SOW	Statement of Work
SQL	Structured Query Language
SS-A	State Self-Assessment
SSA	Social Security Administration
SSI	Supplemental Security Income
SSN	Social Security Number
Store	Involves temporary storage of frequently changing information in the short term and audit trails.
SUR	Surveillance Utilization Review
SVES	State Verification and Exchange System
System	A reference to the overall Recipient Subsystem.
System Alert	An automatic alert that is system-generated based on action(s)or lack of action(s) by the worker
TA	Technical Assessment
TALX	TALX is a subsidiary of Equifax and provides employment and salary verification, unemployment tax management and various other human resource services including payroll services.
TANF	Temporary Assistance for Needy Families
TBD	To Be Determined
TEFRA	Tax Equity and Fiscal Responsibility Act
TFQ	Together for Quality
TIN	Tax Identification Number
Title XIX	Title 19 of the Social Security Act; this Act pertains to Medicaid.
TMA	Transitional Medicaid Assistance
TPL	Third Party Liability
TPQY	Third Party Query

Term/Acronym	Definition
UAT	User Acceptance Testing//also User Acceptance Test
US	United States
USC	United States Code
User	A generic reference to an Agency worker, applicant, or beneficiary. Will be replaced by appropriate reference.
V1/V2	Version 1, Version 2, etc.
VSAM	Virtual Sequential Access Method
Validation	A check that the correct format is being used.
Vendor	Vendor and Contractor are generally used interchangeably within this document. Vendor refers to entities/companies that intend to bid on this RFP. The selected Vendor becomes the Contractor.
Verification	A check that the actual information is correct.
WBS	Work Breakdown Structure
WBT	Web Based Tutorial
WIC	Women, Infants, and Children
Worker	An employee of the Alabama Medicaid Agency responsible for processing applicant/beneficiary information. The term “worker” will be used instead of “user” or “caseworker” where appropriate in requirements for purposes of consistency.
Worker Alert	A reminder set by the worker. Term used instead of “tickler.”
XML	Extensible Markup Language

APPENDIX B: AGENCY ORGANIZATIONAL CHART



APPENDIX C: MITA MATURITY MATRIX

The spreadsheet below represents the results of the Agency's MITA State Self-Assessment, which was completed December 2009.

MITA BUSINESS AREA	ALABAMA BUSINESS AREA	MITA BUSINESS PROCESS	ALABAMA BUSINESS PROCESS	AS IS LEVEL OF BUSINESS CAPABILITY	TO BE LEVEL OF BUSINESS CAPABILITY
Member Management					
Member Management	Member Management	ME Determine Eligibility	ME01 Determine Eligibility	1	1
Member Management	Member Management	ME Enroll Member	ME02 Enroll Member	1	1
Member Management	Member Management	ME Disenroll Member	ME03 Disenroll Member	1	1
Member Management	Member Management	ME Inquire Member Eligibility	ME04 Inquire Member Eligibility	1	1
Member Management	Member Management	ME Manage Application & Member Communication	ME05 Manage Application & Member Communication	1	1
Member Management	Member Management	ME Manage Member Grievance and Appeal	ME06 Manage Member Grievance and Appeal	1	1
Member Management	Member Management	ME Manage Member Information	ME07 Manage Member Information	1	1
Member Management	Member Management	ME Manage Population and Member Outreach	ME08 Manage Population and Member Outreach	1	1
Provider Management					
Provider Management	Provider Management	PM Enroll Provider	PM01 Enroll Provider	1	1
Provider Management	Provider Management	PM Disenroll Provider	PM02 Disenroll Provider	1	1

MITA BUSINESS AREA	ALABAMA BUSINESS AREA	MITA BUSINESS PROCESS	ALABAMA BUSINESS PROCESS	AS IS LEVEL OF BUSINESS CAPABILITY	TO BE LEVEL OF BUSINESS CAPABILITY
Provider Management	Provider Management	PM Inquire Provider Information	PM03 Inquire Provider Information	1	1
Provider Management	Provider Management	PM Manage Provider Communication	PM04 Manage Provider Communication	1	1
Provider Management	Provider Management	PM Manage Provider Grievance & Appeal	PM05 Manage Provider Grievance & Appeal	1	1
Provider Management	Provider Management	PM Manage Provider Information	PM06 Manage Provider Information	1	1
Provider Management	Provider Management	PM Perform Provider Outreach	PM07 Perform Provider Outreach	1	1
Contractor Management					
Contractor Management	Contractor Management	CO Produce Administrative or Health Services RFP	CO01 Produce Administrative or Health Services RFP	1	1
Contractor Management	Contractor Management	CO Award Administrative or Health Services Contract	CO02 Award Administrative or Health Services Contract	1	1
Contractor Management	Contractor Management	CO Manage Administrative or Health Services Contract	CO03 Manage Administrative or Health Services Contract	1	1
Contractor Management	Contractor Management	CO Close-out Administrative or Health Services Contract	CO04 Close-out Administrative or Health Services Contract	1	1
Contractor Management	Contractor Management	CO Manage Contractor Information	CO05 Manage Contractor Information	1	1

MITA BUSINESS AREA	ALABAMA BUSINESS AREA	MITA BUSINESS PROCESS	ALABAMA BUSINESS PROCESS	AS IS LEVEL OF BUSINESS CAPABILITY	TO BE LEVEL OF BUSINESS CAPABILITY
Contractor Management	Contractor Management	CO Manage Contractor Communication	CO06 Manage Contractor Communication	1	1
Contractor Management	Contractor Management	CO Perform Contractor Outreach	CO07 Perform Contractor Outreach	1	1
Contractor Management	Contractor Management	CO Support Contractor Grievance and Appeal	CO08 Support Contractor Grievance and Appeal	1	1
Contractor Management	Contractor Management	CO Inquire Contractor Information	CO09 Inquire Contractor Information	1	1
Operations Management					
Operations Management	Operations Management	OM Authorize Referral	OM01 Authorize Referral	N/A	N/A
Operations Management	Operations Management	OM Authorize Service	OM02 Authorize Service	1	2
Operations Management	Operations Management	OM Authorize Treatment Plan	OM03 Authorize Treatment Plan	N/A	N/A
Operations Management	Operations Management	OM Apply Attachment	OM04 Apply Attachment	1	1
Operations Management	Operations Management	OM Apply Mass Adjustment	OM05 Apply Mass Adjustment	1	1
Operations Management	Operations Management	OM Edit Claim/Encounter	OM06 Adjudicate and Price/Value Claim/Encounter	1	1
Operations Management	Operations Management	OM Audit Claim/Encounter	OM07 Adjudicate and Price/Value Claim/Encounter	1	1
Operations Management	Operations Management	OM Price Claim/Value Encounter	OM08 Adjudicate and Price/Value Claim/Encounter	1	1

MITA BUSINESS AREA	ALABAMA BUSINESS AREA	MITA BUSINESS PROCESS	ALABAMA BUSINESS PROCESS	AS IS LEVEL OF BUSINESS CAPABILITY	TO BE LEVEL OF BUSINESS CAPABILITY
Operations Management	Operations Management	OM Prepare Remittance Advice/Encounter Report	OM09 Prepare Remittance Advice/Encounter Report	2	2
Operations Management	Operations Management	OM Prepare Provider EFT/Check	OM10 Prepare Provider EFT/Check	1	1
Operations Management	Operations Management	OM Prepare COB	OM11 Prepare COB	N/A	N/A
Operations Management	Operations Management	OM Prepare EOB	OM12 Prepare REOMB	1	1
Operations Management	Operations Management	OM Prepare Home and Community Based Services Payment	OM13 Prepare Home and Community Based Services Payment	2	2
Operations Management	Operations Management	OM Prepare Premium EFT	OM14 Prepare Premium EFT/Check	1	1
Operations Management	Operations Management	OM Prepare Capitation Premium Payment	OM17 Prepare Capitation Premium Payment	1	2
Operations Management	Operations Management	OM Prepare Health Insurance Premium Payment	OM16 Prepare Health Insurance Premium Payment	1	1
Operations Management	Operations Management	OM Prepare Medicare Premium Payments	OM17 Prepare Medicare Premium Payments	1	1
Operations Management	Operations Management	OM Inquire Payment Status	OM18 Inquire Payment Status	2	2
Operations Management	Operations Management	OM Manage Payment Information	OM19 Manage Payment Information	1	1

MITA BUSINESS AREA	ALABAMA BUSINESS AREA	MITA BUSINESS PROCESS	ALABAMA BUSINESS PROCESS	AS IS LEVEL OF BUSINESS CAPABILITY	TO BE LEVEL OF BUSINESS CAPABILITY
Operations Management	Operations Management	OM Calculate Spend Down Amount	OM20 Calculate Spend Down Amount	N/A	N/A
Operations Management	Operations Management	OM Prepare Member Premium Invoice	OM21 Prepare Member Premium Invoice	N/A	N/A
Operations Management	Operations Management	OM Manage Drug Rebate	OM22 Manage Drug Rebate	2	2
Operations Management	Operations Management	OM Manage Estate Recovery	OM23 Manage Estate Recovery	1	1
Operations Management	Operations Management	OM Manage Recoupment	OM24 Manage Recoupment	2	2
Operations Management	Operations Management	OM Manage Cost Settlement	OM25 Manage Cost Settlement	1	1
Operations Management	Operations Management	OM Manage TPL Recovery	OM26 Manage TPL Recovery	1	1
Program Management					
Program Management	Program Management	PG Designate Approved Service and Drug Formulary	PG01 Designate Approved Service and Drug Formulary	2	2
Program Management	Program Management	PG Develop & Maintain Benefit Package	PG02 Develop & Maintain Benefit Package	2	2
Program Management	Program Management	PG Manage Rate Setting	PG03 Manage Rate Setting	1	1
Program Management	Program Management	PG Develop Agency Goals & Objectives	PG04 Develop Agency Goals & Initiatives	1	1
Program Management	Program Management	PG Develop and Maintain Program Policy	PG05 Develop & Maintain Program Policy	1	1
Program Management	Program Management	PG Maintain State Plan	PG06 Maintain State Plan	1	1
Program Management	Program Management	PG Formulate Budget	PG07 Formulate Budget	1	1

MITA BUSINESS AREA	ALABAMA BUSINESS AREA	MITA BUSINESS PROCESS	ALABAMA BUSINESS PROCESS	AS IS LEVEL OF BUSINESS CAPABILITY	TO BE LEVEL OF BUSINESS CAPABILITY
Program Management	Program Management	PG Manage FFP for MMIS	PG08 Manage FFP for MMIS	1	1
Program Management	Program Management	PG Manage F-MAP	PG09 Manage F-MAP	1	1
Program Management	Program Management	PG Manage State Funds	PG10 Manage State Funds	1	1
Program Management	Program Management	PG Manage 1099s	PG11 Manage 1099s	2	2
Program Management	Program Management	PG Generate Financial and Program Analysis/Report	PG12 Generate Financial and Program Analysis/Report	1	1
Program Management	Program Management	PG Maintain Benefits/Reference Information	PG13 Maintain Benefits/Reference Information	1	1
Program Management	Program Management	PG Manage Program Information	PG14 Manage Program Information	1	1
Program Management	Program Management	PG Perform Accounting Functions	PG17 Perform Accounting Functions	1	1
Program Management	Program Management	PG Develop and Manage Performance Measures and Reporting	PG16 Develop and Manage Performance Measures and Reporting	1	1
Program Management	Program Management	PG Monitor Performance and Business Activity	PG17 Monitor Performance and Business Activity	1	1
Program Management	Program Management	PG Draw and Report FFP	PG18 Draw and Report FFP	1	1
Program Management	Program Management	PG Manage FFP for Services	PG19 Manage FFP for Services	1	1

MITA BUSINESS AREA	ALABAMA BUSINESS AREA	MITA BUSINESS PROCESS	ALABAMA BUSINESS PROCESS	AS IS LEVEL OF BUSINESS CAPABILITY	TO BE LEVEL OF BUSINESS CAPABILITY
Business Management					
Business Relationship Management	Business Relationship Management	BR Establish Business Relationship	BR01 Establish Business Relationship	1	1
Business Relationship Management	Business Relationship Management	BR Manage Business Relationship	BR02 Manage Business Relationship	1	1
Business Relationship Management	Business Relationship Management	BR Terminate Business Relationship	BR03 Terminate Business Relationship	1	1
Business Relationship Management	Business Relationship Management	BR Manage Business Relationship Communication	BR04 Manage Business Relationship Communication	1	1
Program Integrity					
Program Integrity Management	Program Integrity Management	PI Identify Candidate Case	PIM01 Identify Candidate Case	1	1
Program Integrity Management	Program Integrity Management	PI Manage Case	PIM02 Manage Case	1	1
Care Management					
Care Management	Care Management	CM Establish Case	CM01 Establish Case	1	1
Care Management	Care Management	CM Manage Case	CM02 Manage Case	1	1
Care Management	Care Management	CM Manage Medicaid Population Health	CM03 Manage Medicaid Population Health	1	1
Care Management	Care Management	CM Manage Registry	CM04 Manage Registry	N/A	N/A

APPENDIX D: CURRENT AND FUTURE BUSINESS PROCESSES

The current and future business processes are included within this Appendix. The following pages present a brief overview regarding each of the business processes and flowchart diagrams which illustrate the As Is or current business processes and the To Be or envisioned future business processes. The envisioned future business processes are subject to change. Further details regarding each of the current business processes may be found in the BPR Assessment, Analysis, and Design document located in the Procurement Library.

CURRENT: Central Mailroom Function

In general, the mailroom, located on the first floor of the building where the Agency is located, serves as the central mailroom for all mail sent to the Medicaid Agency. When important mail is received in the central mailroom for the Beneficiary Services function, it is sent to the sixth floor room, where the mail is in turn sorted and distributed to either staff within the central office, a local district office or out stationed worker. There are exceptions when mail is sent directly to the sixth floor mailroom from a recipient, a district office, or some other source or directly to a district office, or to a specific worker, including one of the out stationed workers.

The current overall process is:

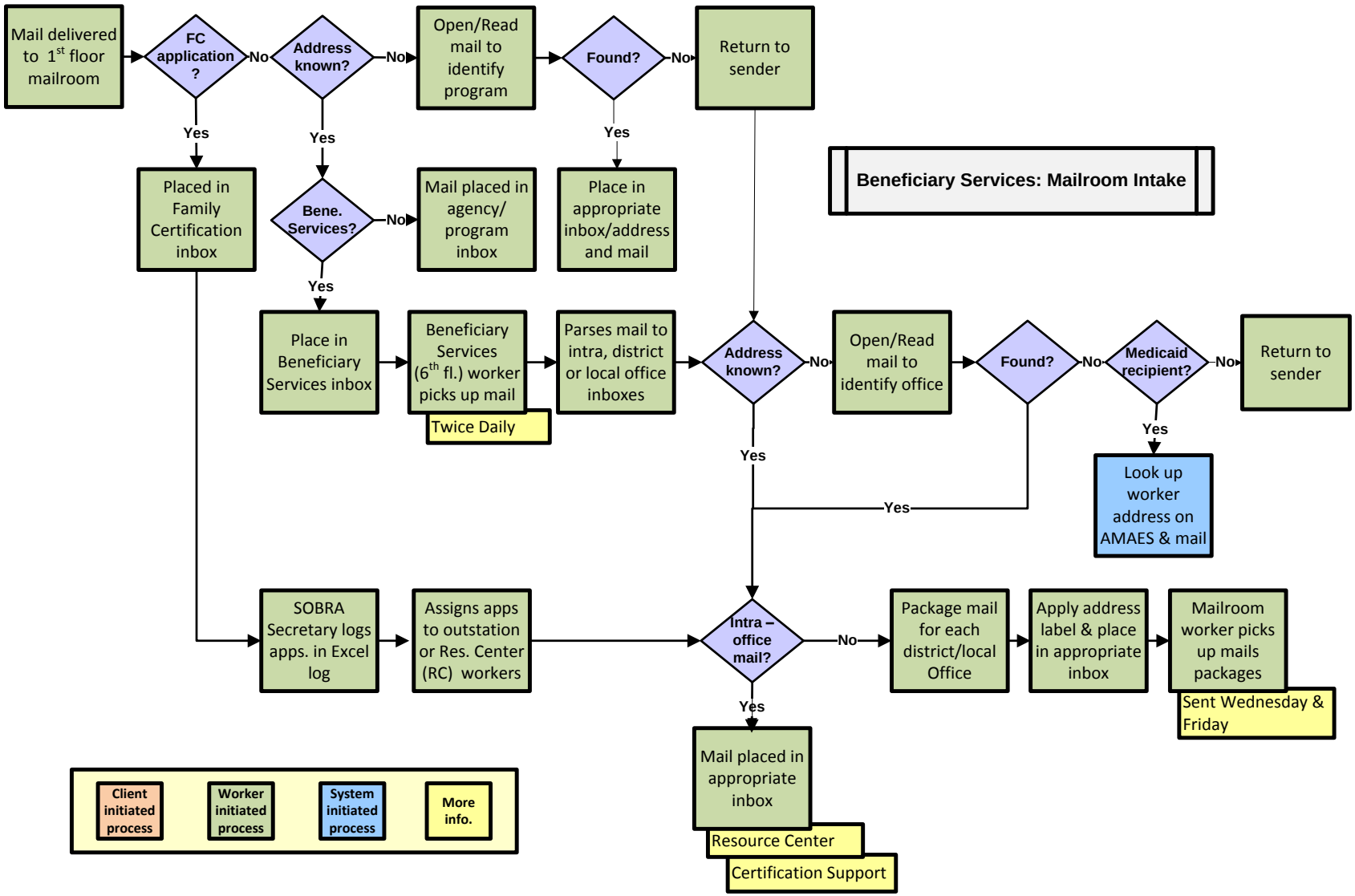


Figure 11: Current Central Mailroom Function

CURRENT: Family Certification Intake Process

To apply for SOBRA or another program for women and children an applicant may go to a district office, the local county health department, a Federally Qualified Healthcare Center (FQHC), certain local hospitals, or to the Resource Center at the central office in Montgomery. A prospective recipient can also obtain a paper application by calling the toll-free number (1-800-362-1504) that is operated by the AMMIS Fiscal Agent or by visiting the Medicaid web site at www.medicaid.alabama.gov and downloading and printing an application. In addition, a prospective recipient can apply online at www.insurealabama.org, which is the central web site provided by the Alabama Department of Public Health. The process that is followed differs somewhat depending on whether or not an application is provided on a walk-in, mail-in, or electronic basis. The web application process is described later in this appendix.

When a prospective recipient either submits an application by mail or walks into an office and requests services, the intake process begins. If the prospective recipient walks into a district office or meets with an out-stationed worker, the prospective recipient will complete the intake log and meet with the intake worker who will provide him/her with an application to complete. If the prospective recipient walks into an FQHC or hospital and meets with an Application Assister, the Application Assister will screen the recipient and, if appropriate, provide him/her with an application to be completed.

The process that is currently followed for mail-in and walk-in applications submitted to the Family Certification Division for SOBRA and other programs is summarized in the following workflow.

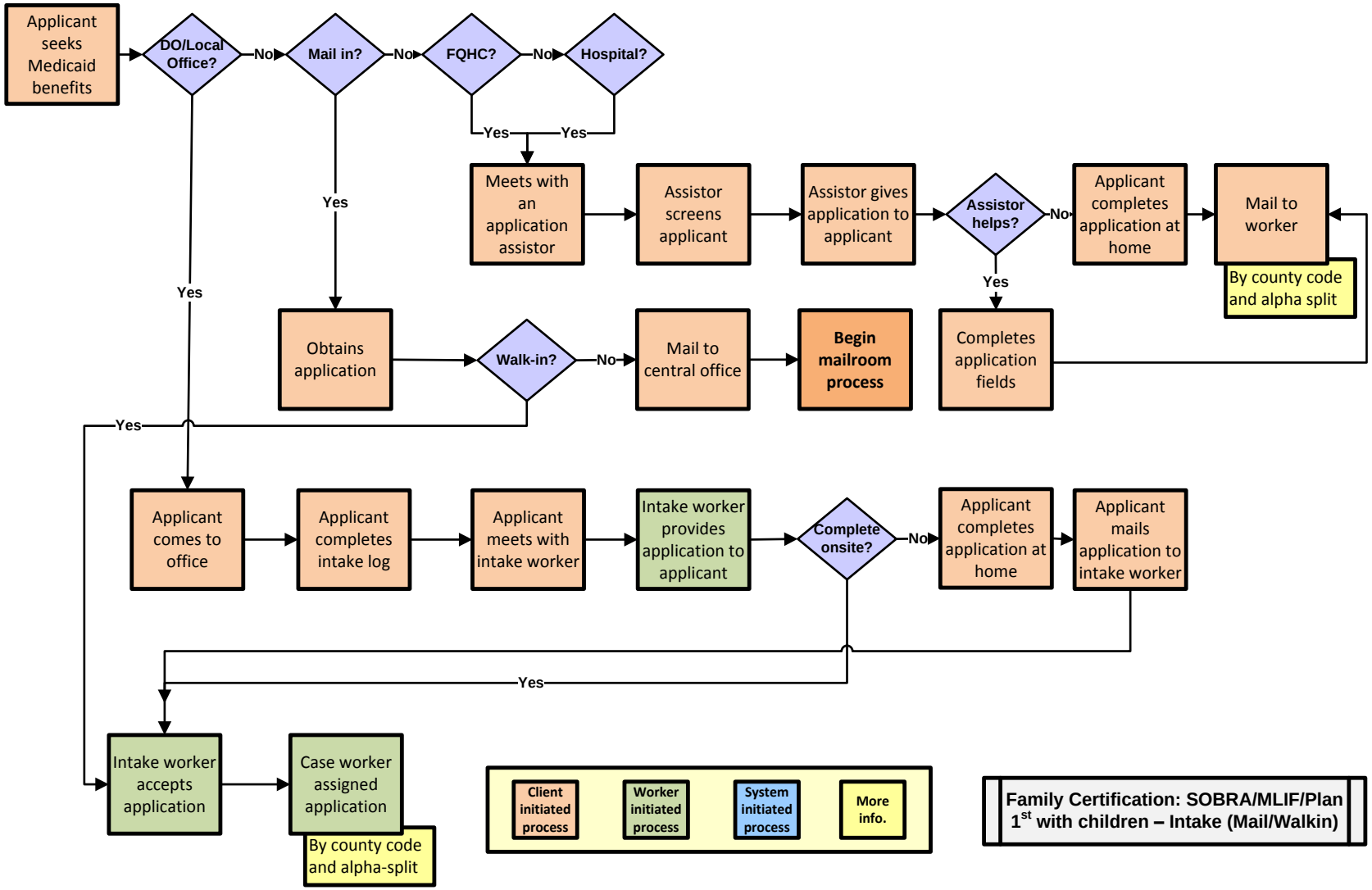


Figure 12: Current Family Certification Intake Process

FUTURE: Central Mailroom Function

The future process, which is presently in early stages of implementation, is for application forms and/or source documents to be received by the Mailroom. This will combine the two current processes, Central Mailroom Function and Family Certification Intake Process, into one process. Upon receipt, the envelope and contents will be date stamped and prepared for scanning operation. Documents will be scanned and the image files indexed according to instructions for the ECM system. Images are to be stored in the ECM and associated with either a new or existing case file on SharePoint. It is required that these documents be associated with the electronic case record in the new Eligibility Determination System.

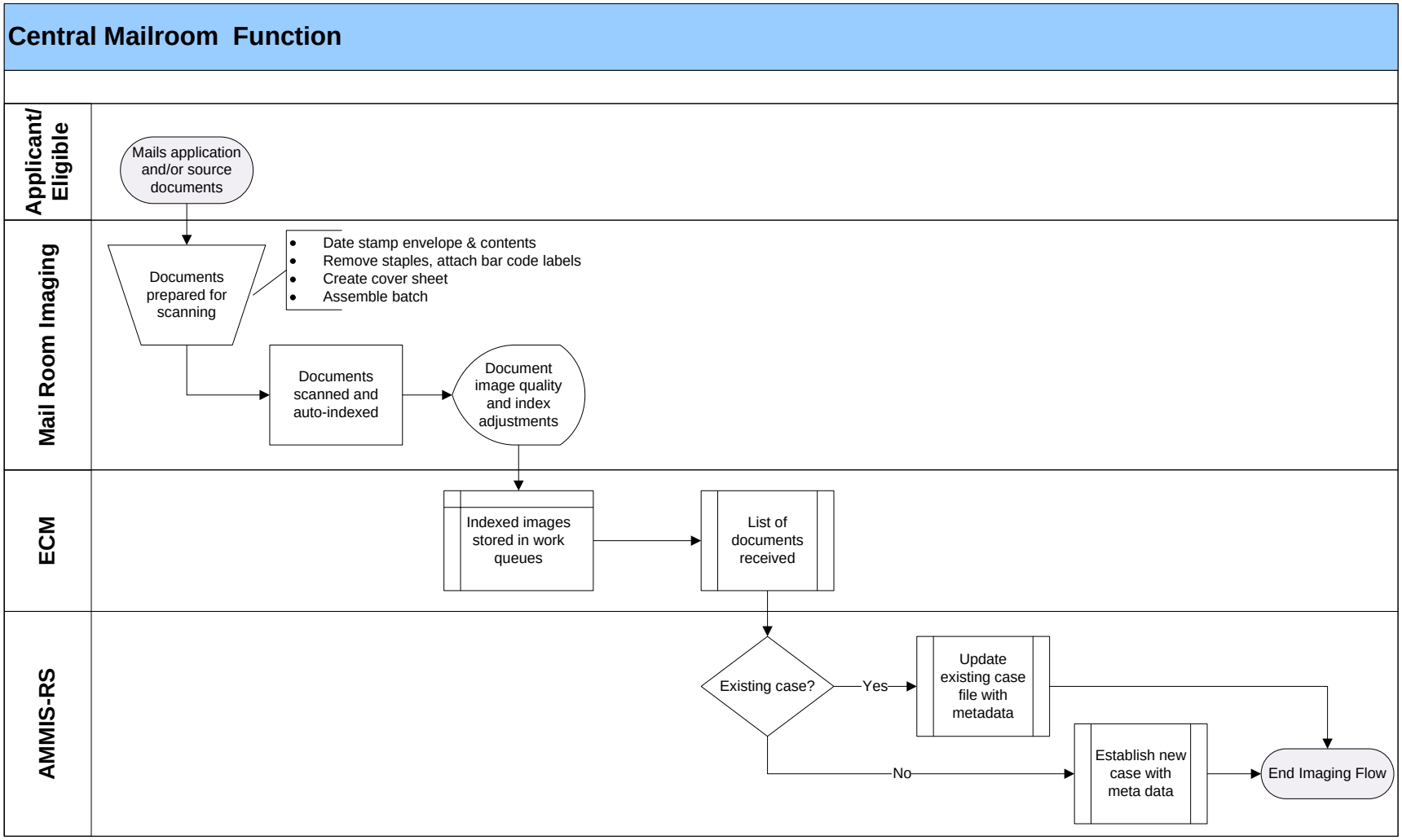


Figure 13: Future Central Mailroom Process

CURRENT: Family Certification Web-based Intake Process

The prospective recipient can also complete an application anywhere that internet access is available. The web application goes first to the DPH system which sends a daily file of applicant information to the AMAES system containing information for potentially Medicaid eligible applicants. The AMAES system is designed to electronically forward each application to the appropriate regional supervisor for each application based on the county of residence of the prospective recipient. The system also creates a report that provides a list of applications assigned to each regional supervisor. The system allows supervisors to view a report of all unassigned applications for their region. All applications are assigned to a worker for follow up action using the application referral function that exists within the AMAES.

The process that is followed for electronic applications is summarized below.

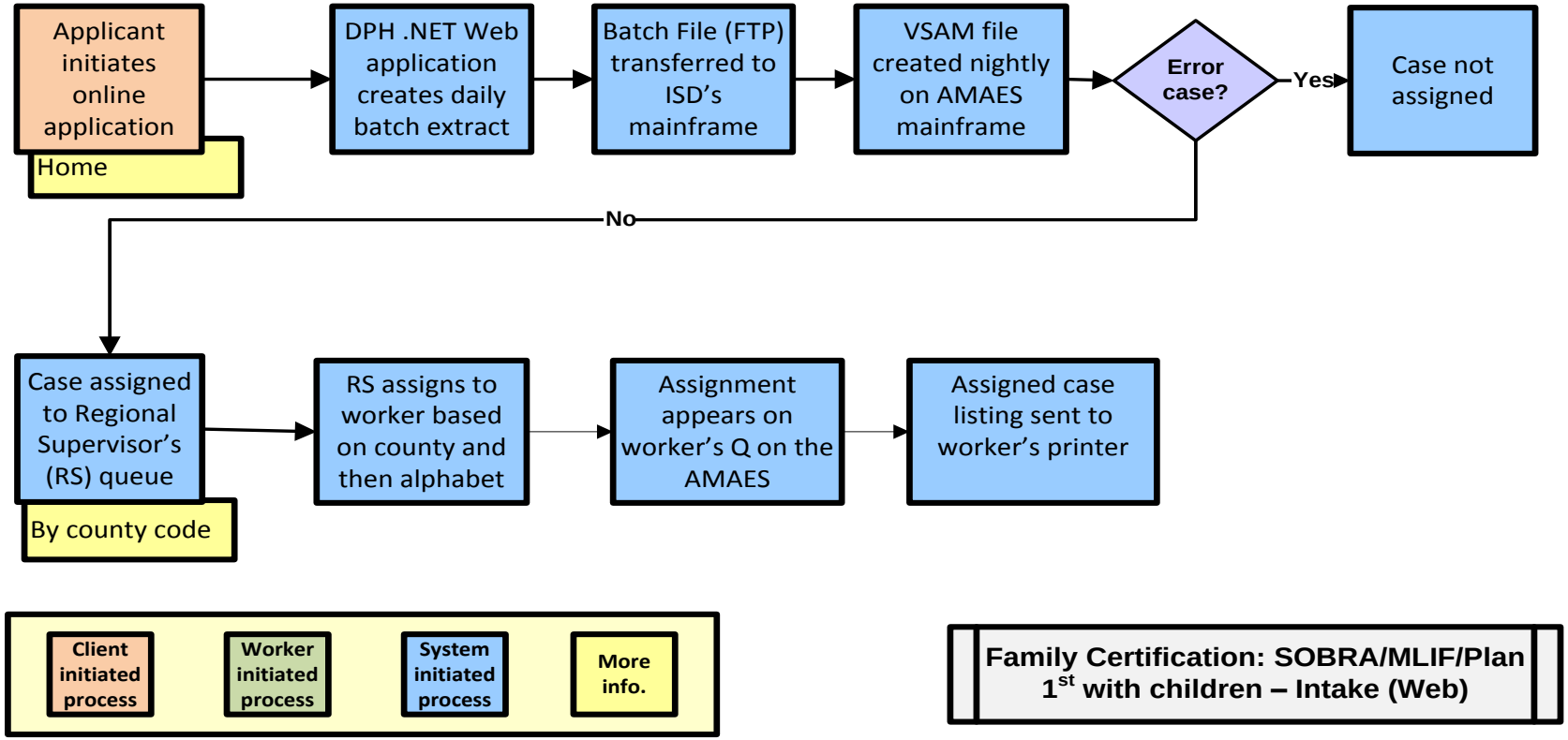


Figure 14: Current Family Certification Web-based Intake Process

FUTURE: Medicaid Web-based Intake Process

An applicant will have the ability to apply for medical assistance benefits online by creating a subscriber account. If they have previously received benefits, they can enter their Medicaid number and SSN and answer some other identity authentication questions to receive a pre-populated application based on data stored in the new Eligibility Determination System. Before submitting the application they must affirm that the information that has been presented in the pre-populated form has been reviewed and is accurate. The Eligibility Determination System will subsequently create a case file or update the stored case information. The case will then be assigned to a worker. If an applicant was not able to complete the identify authentication questions, they would be directed to call a 1-800# to setup an account. The system will not allow someone to access or create an account without accurately verifying that they are the owner of the account (or appropriate assistor). This “to be” process is to be extended to all Medicaid programs where presently limited to Family Certification.

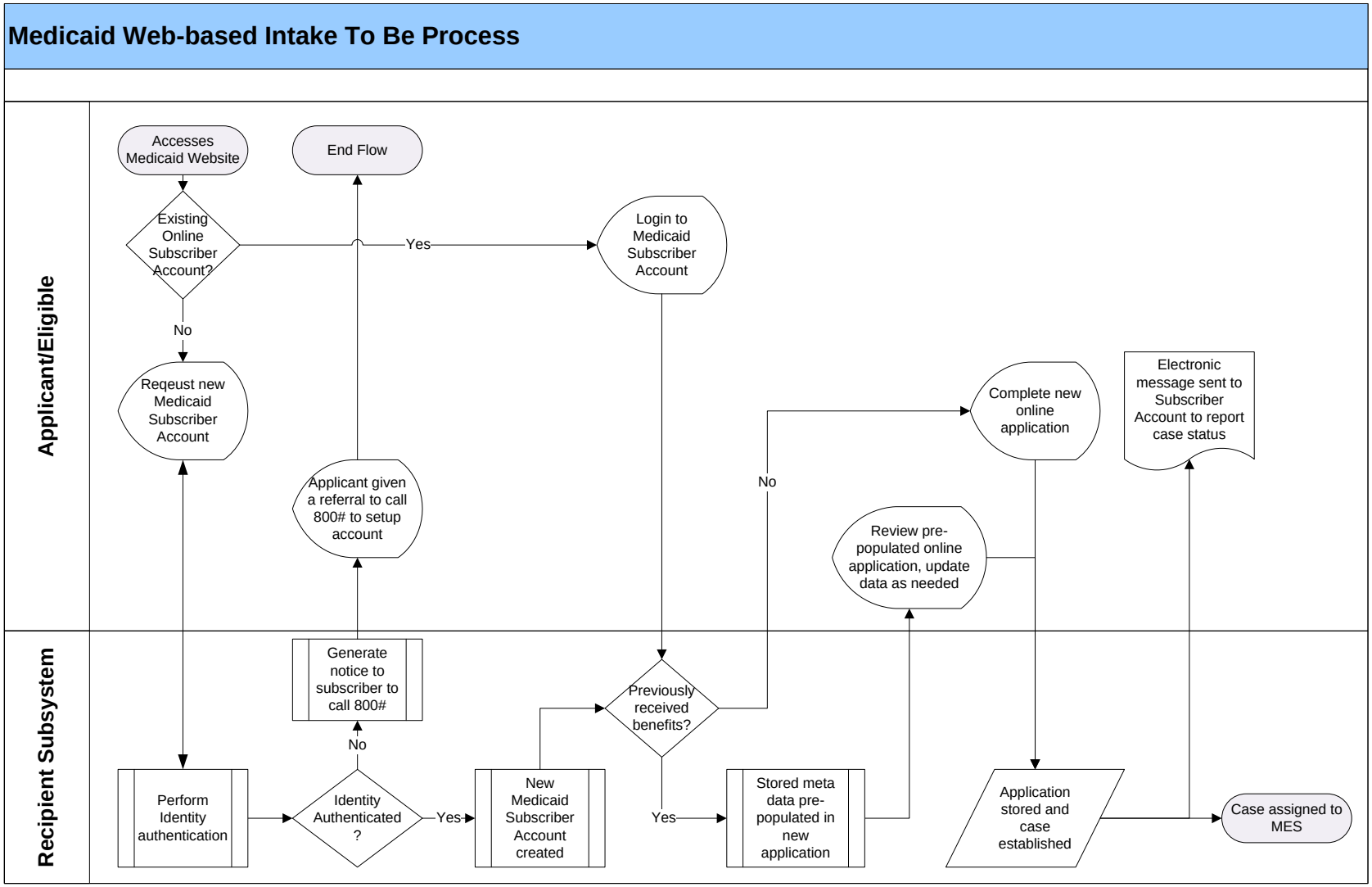


Figure 15: Future Medicaid Web-based Intake Process

CURRENT: Elderly and Disabled Certification Intake Process

Unlike the Family Certification function, the Elderly and Disabled Division do not have an online application. Instead, all applications are received on either a walk-in or mail-in basis. The E&D intake process begins when a prospective recipient obtains an application by calling the Medicaid 1-800 number and requesting an application. The applicant can also obtain a copy of the application using the Medicaid web site, from a nursing home or from a community agency.

The intake process for the Elderly and Disabled function is summarized below.

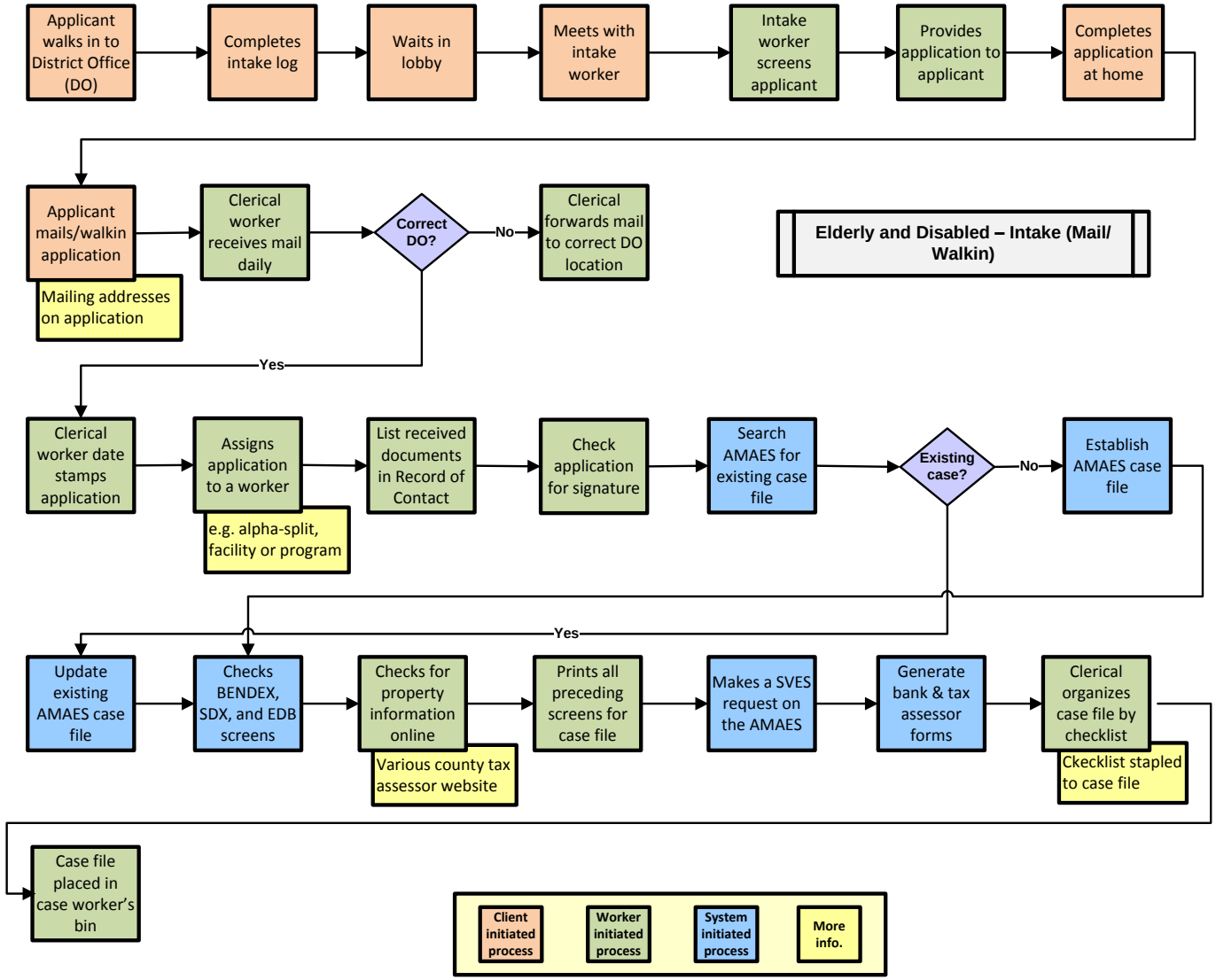


Figure 16: Current Elderly and Disabled Intake Process

CURRENT: Certification Support Division Intake and Referral Process

The Division operates centrally in Montgomery and only receives applications that are mailed in to the central office or received on an online basis. The Division receives mail in applications either directly from one of the other State agencies that use the Medicaid program or from a district office or out-stationed worker who first received the application. All online applications are sent to the appropriate local Family Certification unit for follow-up attention as part of its case review efforts. It is reported that roughly 1,000 applications are sent to the central office each month for review by the CSD.

The Certification Support Division maintains three different units to handle its workload. These units are generally known by where they are physically located in the central Montgomery office building rather than by the type of cases that is handled by each unit. These three units include: the Resource Center; “Room 8050,” which handles Breast and Cervical Cancer applications, DYS applications, and Plan First applications; and “Room 2072,” which handles emergency services for aliens and applications for foster care and adoptive service cases.

The overall intake process that is followed by the CSD is summarized below.

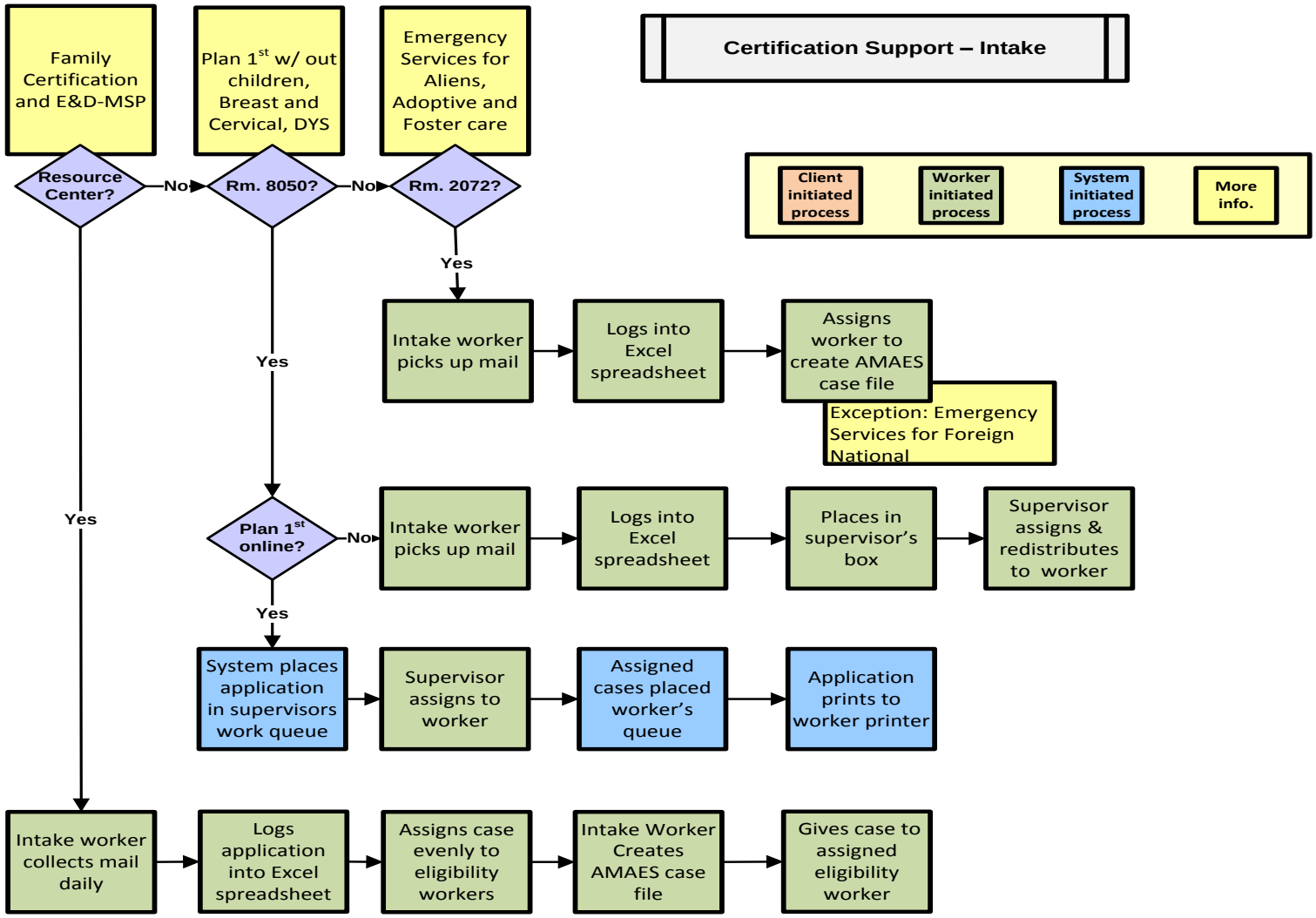


Figure 17: Current Certification Division Intake Process

FUTURE: Medicaid In-Person Intake Process

This “to be” process combines the E&D intake process with the Certification Support along with Family Certification as shown in Appendix L, Figure 2. In the future, when a person enters a Customer Service Center, they will be met by a greeter or screener who will welcome the visitor and direct them to scan their Medicaid card. If they do not have a Medicaid card, the greeter will screen the visitor to determine if they have previously received Medicaid benefits. The greeter will then ask who they are here to see and in reference to whom (self or another person)? The greeter will key the reason for the visit into the electronic log and then direct the visitor to sign the electronic pad. Maintaining a log of visitors is an IRS requirement. If the visitor is applying for any E&D program with the exception of the Medicare Savings Program, a case worker will be contacted to conduct an interview and complete the online application. The applicant will then be asked if he/she would like to submit an application today. If the applicant answers yes, he/she will be asked if computer assistance is needed. If the applicant answers yes, the greeter/screener will assign the applicant to a computer terminal and assist the applicant in completing the online application. If the applicant answers 'yes' but the greeter/screener is busy, the greeter/screener will contact a rotating screener and provide the name of the person who has requested assistance. The alternate screener will report to the waiting area and call the name of the person who has requested assistance; the applicant will then report to a computer terminal or an interview room where screener will assist the applicant with completing the application or interview the applicant and enter an online application on behalf of the applicant.

For applicants who have previously received benefits, if they provide their Medicaid number and SSN and answer the identity authentication questions, their application will be pre-populated with the most current information that is stored in the Eligibility Determination System to be updated and verified. If the applicant has not previously received medical assistance benefits, a new case will be established in the Eligibility Determination System when the application is submitted online.

The following workflow represents the “to be” process for all Medicaid applicants.

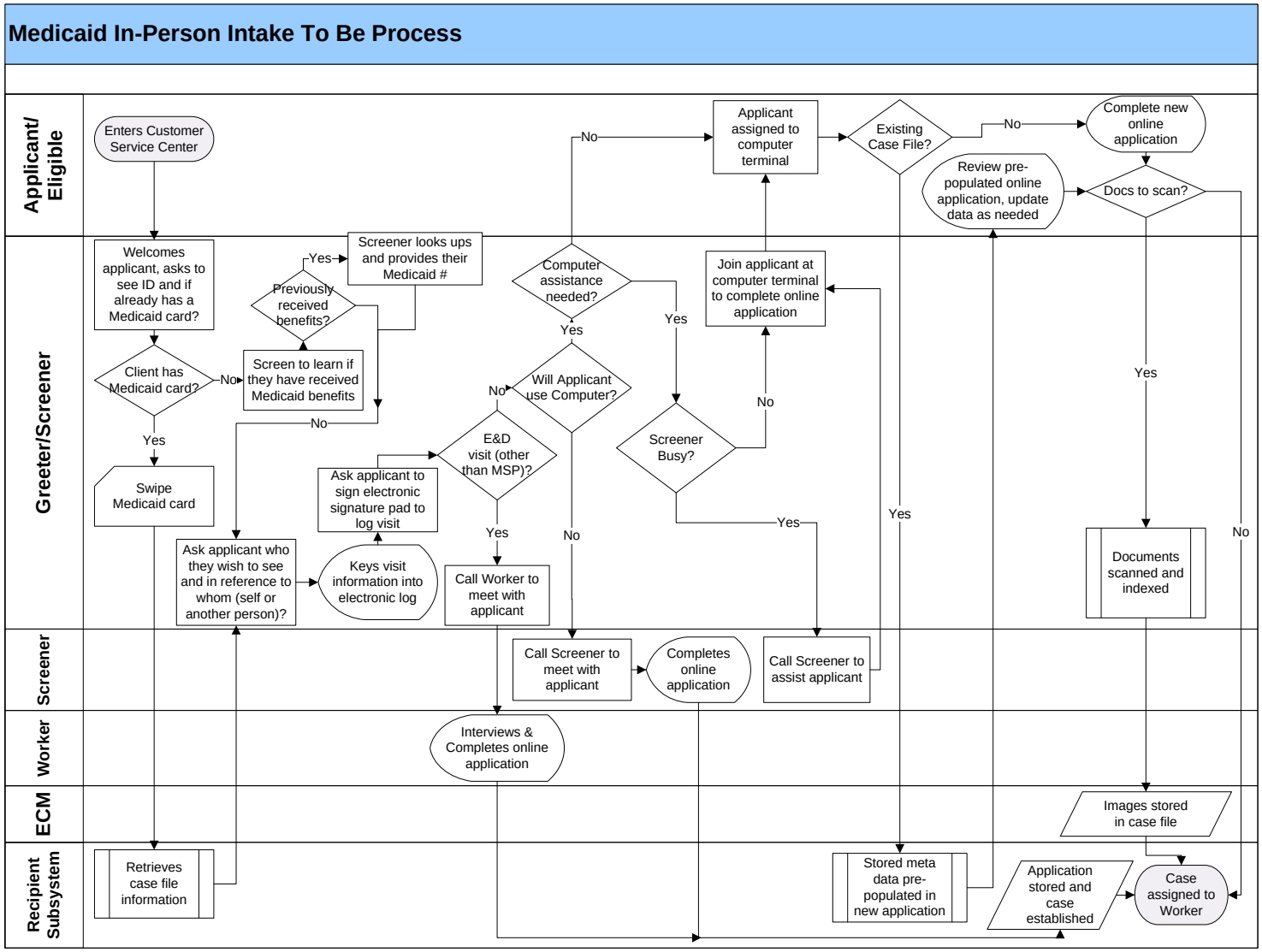


Figure 18: Future Medicaid Intake Process

CURRENT: Family Certification Eligibility Determination Process

The Family Certification Division is responsible for handling eligibility determination for the SOBRA, MLIF, and Plan first (with children) programs. Once the intake process is completed, the file that is created for each case or applicant is assigned to a Family Certification caseworker based on the applicant's county of residence and last name to begin the Family Certification eligibility determination process.

For the most part, an applicant for SOBRA or one of the other programs handled by the Family Certification Division does not have to appear for an in-person interview with the worker assigned to a case. Instead, the worker begins his or her review by reviewing the information provided by the applicant and determines the extent to which additional information is required. The worker then tries to obtain this information by contacting the applicant and by searching for the information that can be obtained through the AMAES system and other sources. To the extent that there are questions with the information that is obtained, or other issues, the worker may require a follow up interview with the applicant.

A summary flowchart of the eligibility determination process for the Family Certification function is presented below.

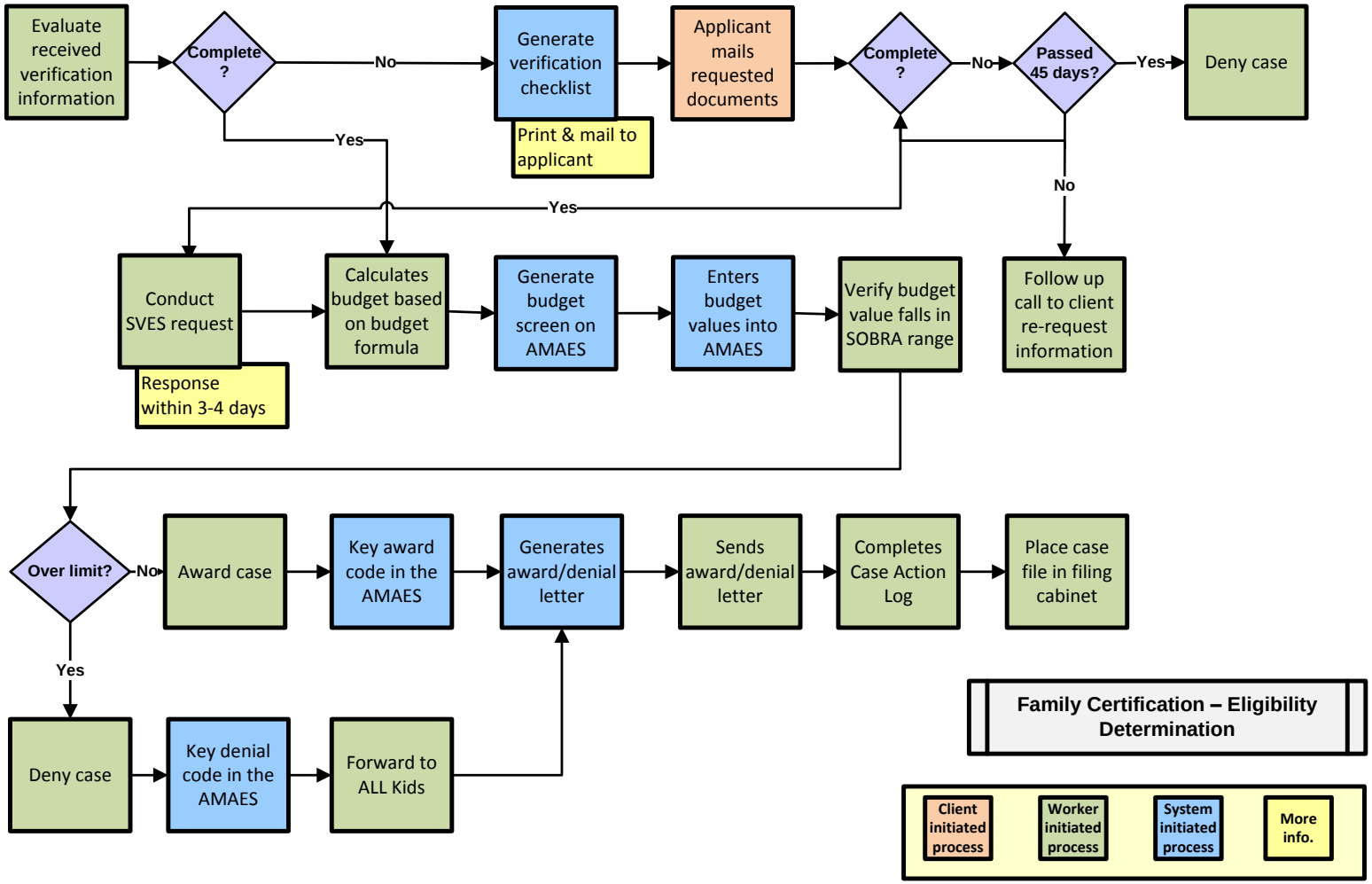


Figure 19: Current Family Certification Eligibility Determination Process

FUTURE: Family Certification and Certification Support Eligibility Determination Process

An applicant can apply for Family Certification and Certification Support programs, online, via phone/IVR, in-person or via mail. The system will check for an active ALLKids application, and perform verification for SVES and Medicare entitlement. The system will conduct various data matches to validate eligibility criteria. The application will then be screened for Express Lane Eligibility (ELE) first and then Medicaid eligibility if they are not known to any of the other health and human service programs.

Eligibility source documents submitted and received by the Mailroom/Imaging function will be imaged, indexed, and stored to the ECM system. This information will be used to update the case file. If all documents are received within 20 days, a formula based budget will be calculated.

If all the source documents are not submitted, the case worker will trigger a request to generate a verification checklist notice. If the applicant has requested email notifications, they will receive an electronic notice of the verification checklist. If they have access to a scanner, they can submit the documents online. If all documents are received within 20 days, a formula based budget will be calculated.

If all the source documents are not submitted, the case worker will trigger a request to generate a verification checklist notice. If the applicant has not requested email notifications, the Mailroom/Imaging Center will receive and prepare the system generated letter for mailing. Once the applicant receives the mail and returns the documents, they will scanned, imaged, indexed and stored to the Electronic Content Management system by the Mailroom/Imaging staff. If all documents are received within 20 days, a formula based budget will be calculated.

If the applicant is over the income limits for all the medical assistance programs available, a termination code will be assigned and recorded on the case action system log. The case will electronically be referred to the DPH to determine if any children can be covered under ALLKids. If there is an adult, the case will electronically be referred to the Health Benefit Exchange (HBE). The system will generate a denial notice and a certificate of credible coverage that will post to the ECM system and electronically route to the Mailroom/Imaging staff to be printed and mailed to the applicant.

If the applicant's income does not exceed the income limit, an award code will be assigned and recorded on the case action system log. The system will generate an award notice that will post to the Electronic Content Management system and electronically route to the Mailroom/Imaging function to be printed and mailed to the beneficiary.

For a person who is determined eligible for medical assistance, who presented an insurance card at the time of application, and whose third party coverage has not been verified electronically, that information will be electronically referred to TPL staff for validation. Third party coverage that has been validated electronically or by third party staff will be noted in the case action system

log as verified and/or validated. Third party insurance that has not been verified or validated will also be captured in the case action system log. The following represents the future Family Certification and Certification Support eligibility determination “to be” process.

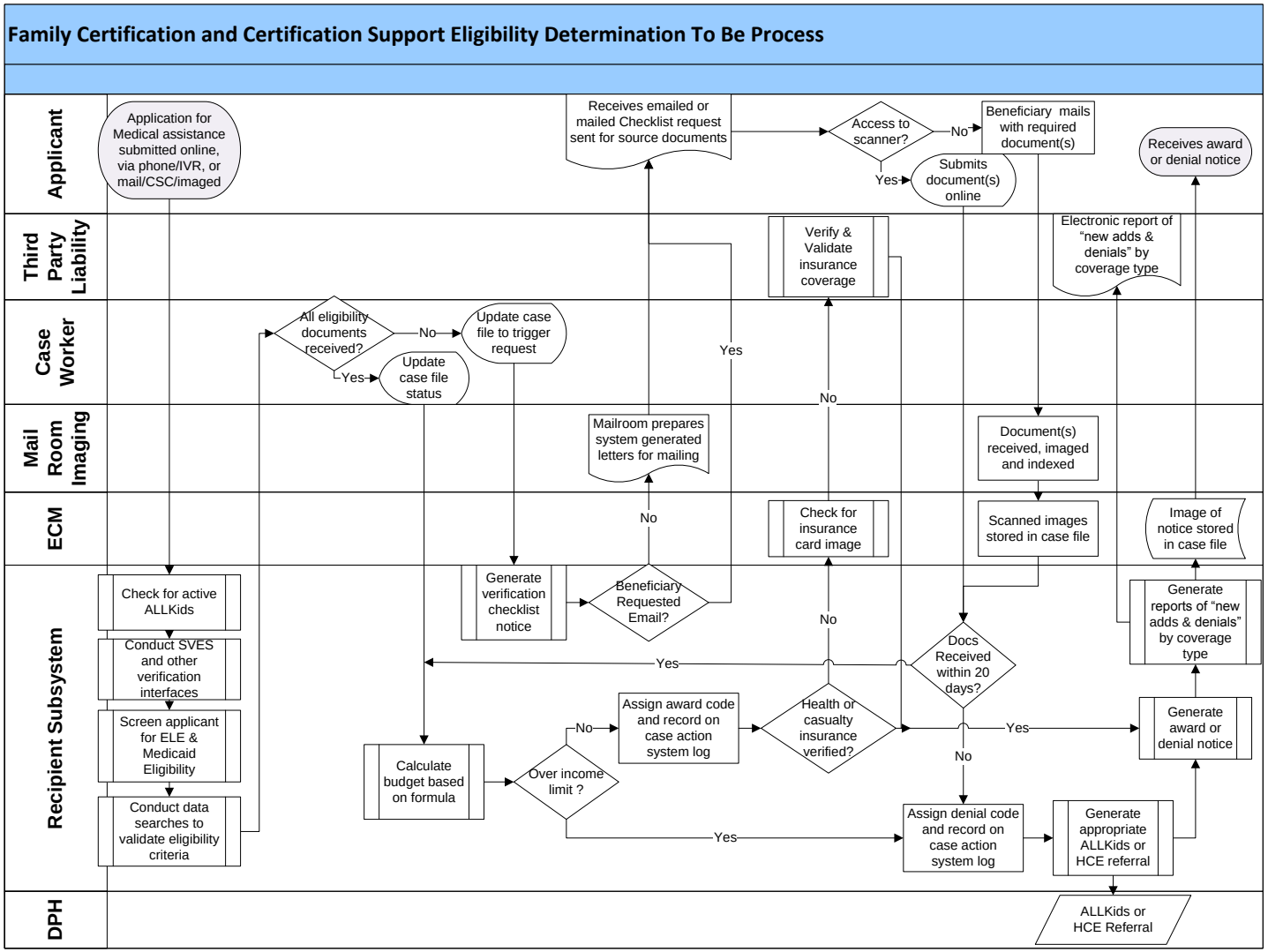


Figure 20: Future Family Certification and Certification Support Eligibility Determination Process

CURRENT: Beneficiary Case Maintenance and Redetermination Process

The eligibility worker is required to review all changes in status information as they are received, such as a change in income, and post all new information to the case record. To the extent that this information changes the eligibility status of a case, the worker is then required to initiate the appropriate change in the case.

At present, there are not any processes in place to verify the ongoing status of a case, such as a periodic match against available employment information. Instead, under current State and Federal policy, it is generally accepted that a recipient is entitled to benefits for the full period between an initial eligibility determination and the next redetermination date for a case, unless the recipient volunteers information that may change the status of a case.
The AMAES system is designed to send a notice to the recipient at the time that a redetermination review is required. This starts a repeat of the entire eligibility process that has already been described.

The case maintenance and redetermination process for Beneficiary Services cases is summarized below.

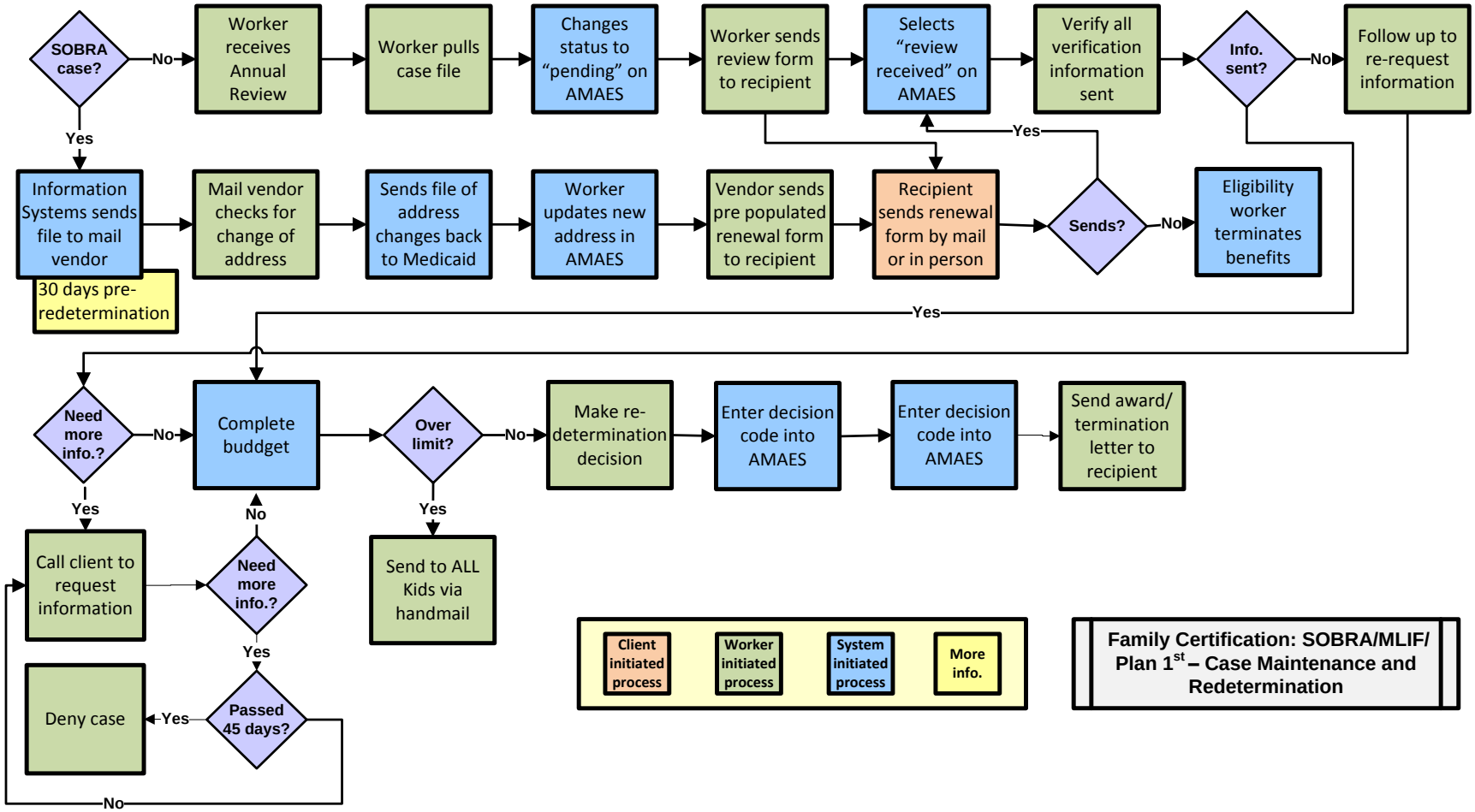


Figure 21: Current Beneficiary Services Case Maintenances and Redetermination Process

FUTURE: Beneficiary Services Case Maintenance and Redetermination Process

The eligibility determination system will identify cases that are scheduled to be re-determined in 30 days. In the future, the system will then perform data matches on cases that are defined as low-risk administrative and ex-parte cases to verify if they can be auto-renewed (also known as “passive renewal”). Based on the results of the data matches, the system will assign an award or termination code to the case action system log and generate a notice for the beneficiary. The notice will be electronically routed to the Mailroom/Imaging function to be mailed to the beneficiary. Beneficiaries who are being terminated will also receive a certificate of credible coverage.

If a case does not meet the low-risk protocol, the system will generate a pre-populated renewal form that will be sent to the ECM system to be stored in the electronic case file. If the beneficiary has requested email notification they will receive an electronic notice that their case is due to be renewed, and they can complete a renewal form by phone/IVR or online. The applicant will update their existing case file information and have the ability to upload source documents via their online subscriber account. If all source documents are received within 20 days, the case file status will be updated and a formula based budget will be calculated.

If the beneficiary has not requested email notifications, the Mailroom/Imaging function will prepare the system generated renewal form for mailing. The beneficiary will receive the renewal form which can be completed online, by IVR, phone or mail. If they complete online, they have the option to upload source documents via the online subscriber account. If they apply by IVR/phone and mail source documents or mail the renewal form back with or without source documents, the mailing will be received by the Mailroom/Imaging function. The documents will then be imaged, indexed and stored to the ECM system. This information will be used to update the case file. If all documents are received within 20 days, a formula based budget will be calculated.

If the beneficiary is over the income limits for all the medical assistance programs available, a termination code will be assigned and recorded on the case action system log. The case will electronically be referred to the DPH to determine if any children can be covered under ALLKids. If there is an adult, the case will electronically be referred to the HBE. The system will generate a termination notice and a certificate of credible coverage that will post to the ECM system and electronically route to the Mailroom/Imaging staff to be printed and mailed to the beneficiary.

If the beneficiary’s income does not exceed the income limit, an award code will be assigned and recorded on the case action system log. The system will generate a renewal award notice that will post to the ECM system and electronically route to the Mailroom/Imaging function to be printed and mailed to the beneficiary.

The following work flow depicts the “to be” process for case maintenance and redetermination for Beneficiary Services.

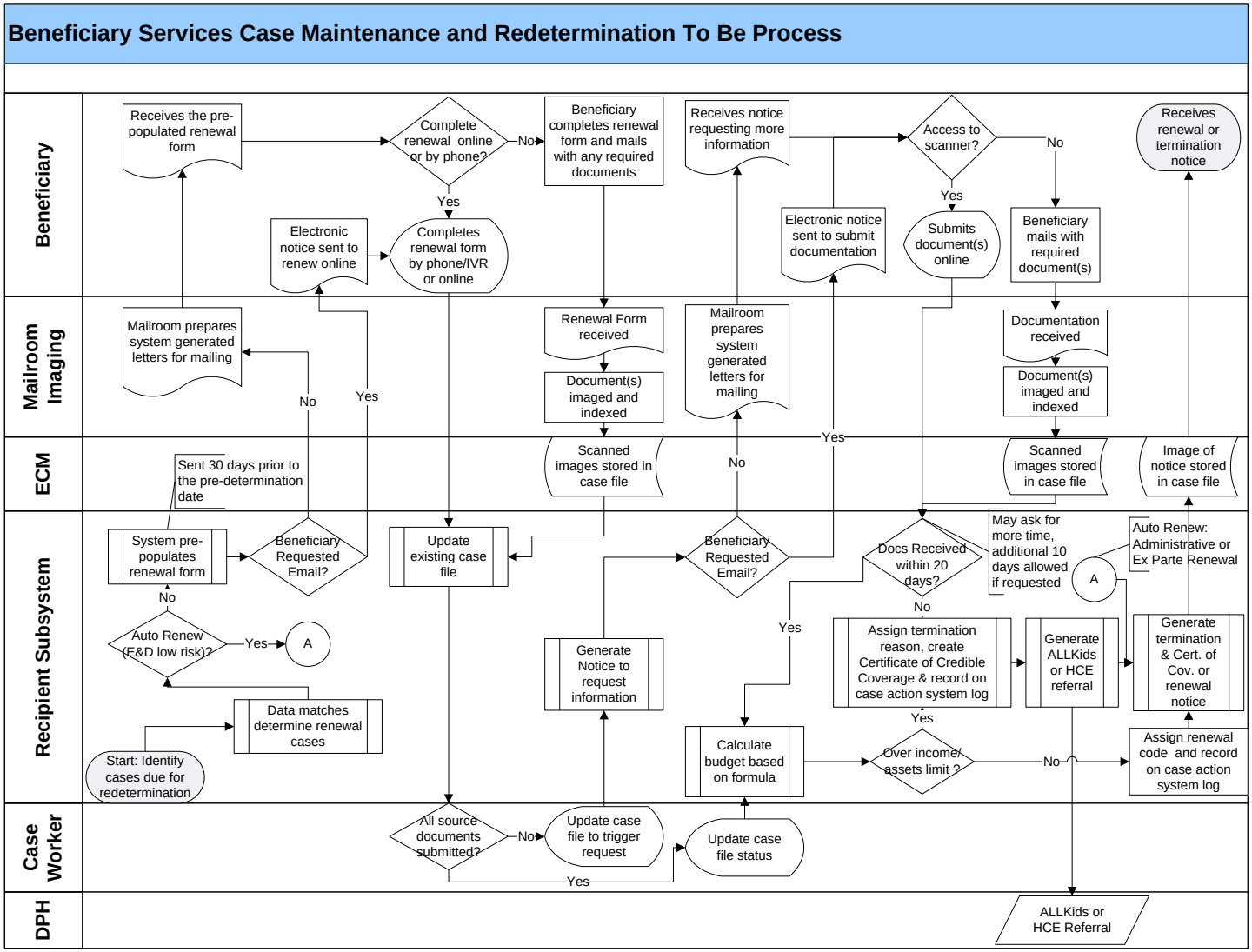


Figure 22: Future Family Services Case Maintenance and Redetermination Process

CURRENT: Elderly and Disabled Eligibility Determination Process

The eligibility determination function for all programs handled by the Elderly and Disabled Division are conducted by Elderly and Disabled Division workers housed at the 10 statewide district offices, with the exception of cases that are sent to the central office in Montgomery. These represent the backlog of cases that are handled by the central Resource Center to help ease the workload burden at the local level. It is estimated that roughly 800 MSP cases are sent to the Resource Center each month. Each district office has one worker assigned exclusively to MSP cases while remaining workers handle Elderly and Disabled cases.

The exhibit below summarizes the process that exists for elderly and disabled cases.

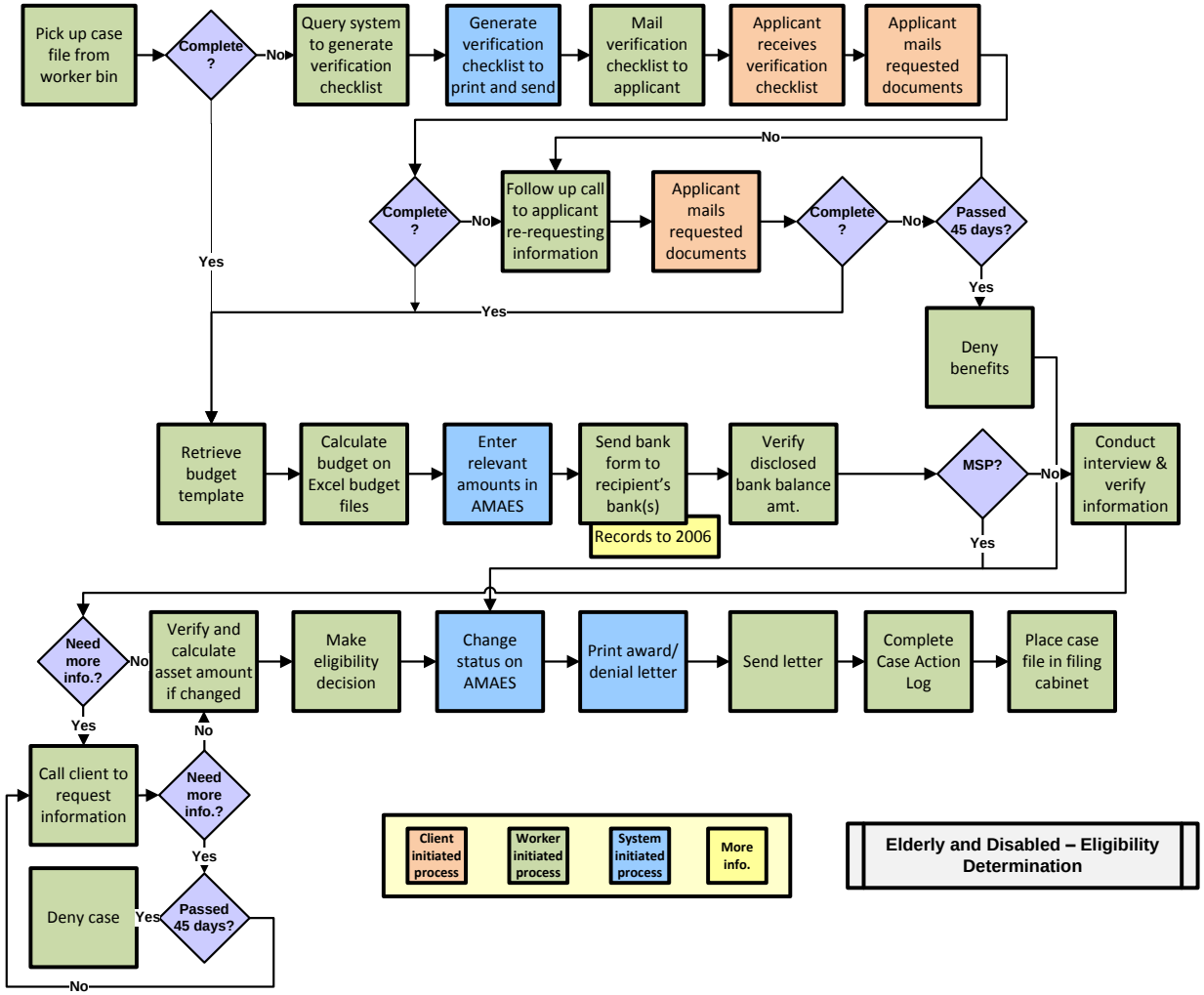


Figure 23: Current Elderly and Disabled Eligibility Determination

FUTURE: Elderly and Disabled Certification Process

The To Be process supports an applicant applying for E&D programs, online, via phone/IVR, in-person or via mail. The eligibility system will conduct SVES, SSA data and Medicare entitlement verifications. It will then check BENDEX and SDX, and check IRS and SSA history for income and assets. The system will also screen the applicant for ELE, and if they are unknown to the other human service agencies, it will determine if they are eligible for Medicaid. The case will then be assigned to a worker via alpha-split, facility, or program designation. A pre-populated income and asset verification and other designated forms will be system generated; Medicare Savings Program (MSP) application will be excluded from some data gathering because only income information is verified for MSP. Different forms and documentation are required for the different E&D programs. The worker reviews the case information, then schedules and conducts an interview (required for E&D applicants) to determine the appropriate forms and documents required, and updates the case file for the system to generate the applicant mailing package. System generated mailings are prepared and sent by the Mailroom/Imaging function.

If the income and asset verification and designated forms are not received in 20 days, the case will be assigned a denial code and recorded on the case action system log. If the income and asset verification and designated forms are received within the 20 days, the budget will be calculated based on a formula. If the income or assets are under the eligibility limits for all the medical assistance programs available to the elderly and disabled population, the case is assigned an award code which is noted in the case action system log. An eligibility notice is generated and sent to the applicant.

If a person who is determined eligible also owns countable property, then an alert will be sent to the assigned case worker to obtain a signature on the Tax Equity and Fiscal Responsibility Act (TEFRA) lien. The case worker will contact the applicant to obtain an original signature on the TEFRA lien; the applicant will execute the lien; the worker will scan the document and send the executed TEFRA lien to the ECM. The TPL staff will then file the original TEFRA lien with the applicable Probate Court and update the case file.

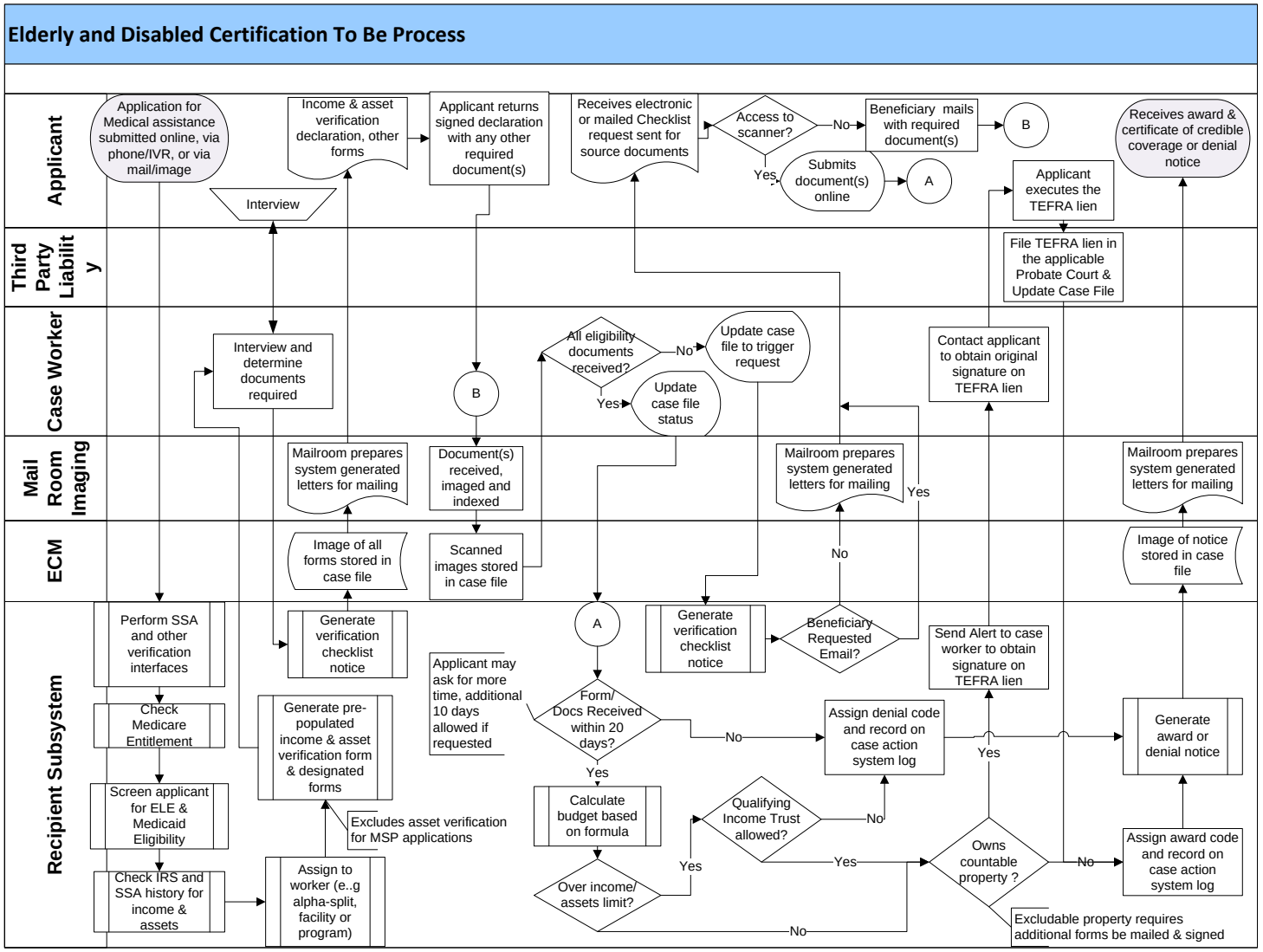


Figure 24: Future Elderly and Disabled Eligibility Determination

CURRENT: Elderly and Disabled Case Maintenance and Redetermination Process

The Elderly and Disabled (E&D) Division caseworkers are responsible for posting changes in case status as they receive notice of these changes. The annual redetermination process is started at the time a redetermination notice is generated by the AMAES system.

The overall process that is followed for case maintenance and redetermination is summarized below.

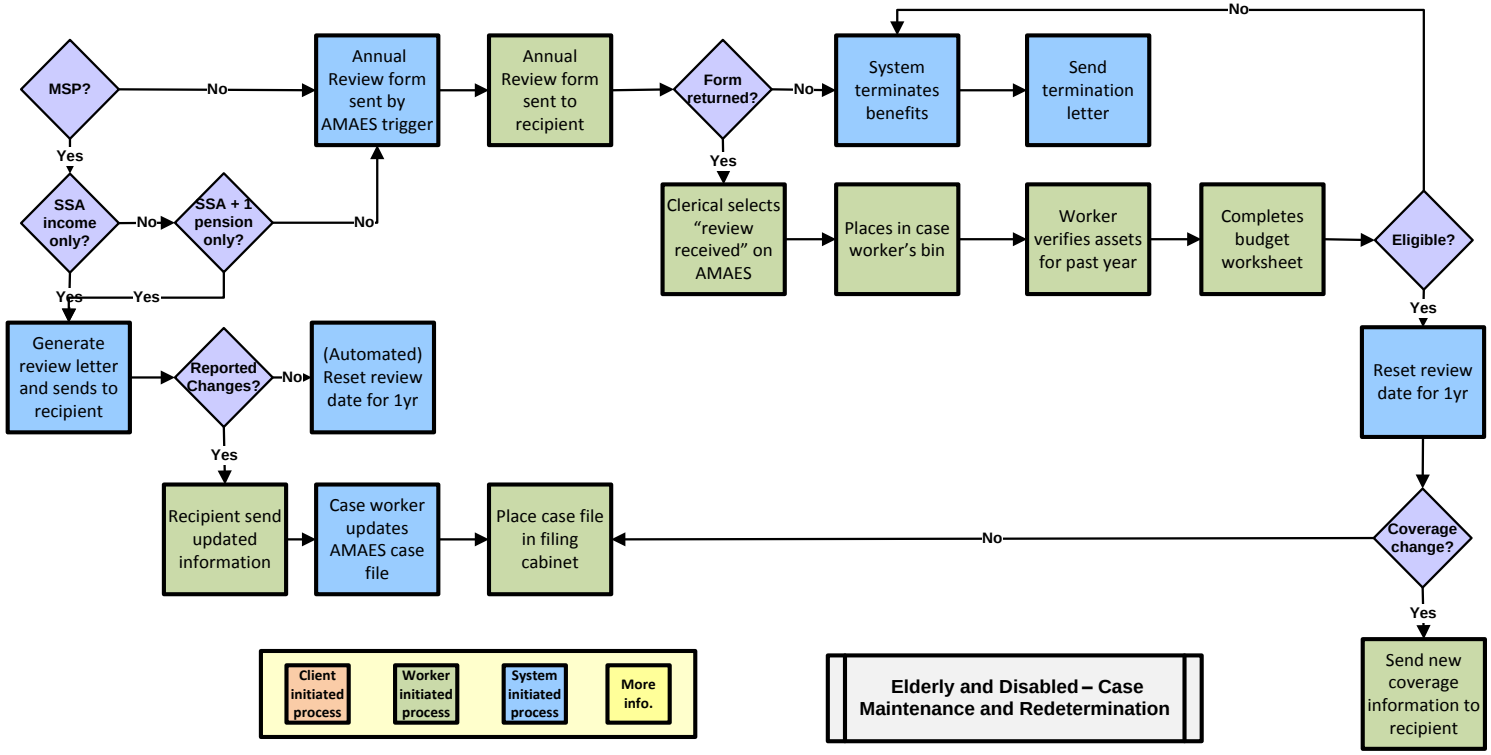


Figure 25: Current Elderly and Disabled Case Maintenance Eligibility Redetermination Process

CURRENT: Eligibility Determination Process for the Certification Support Function

The Certification Support Division (CSD) performs two major eligibility determination functions. First, it reviews and approves the eligibility determinations made by the various other programs that use the Medicaid program to help cover the costs of their service efforts, including: the Breast and Cervical Cancer program; the Refugee Resettlement program; DPH; DYS; and the Department of Human Resources. Second, the Division performs eligibility determination services for the backlogged cases received from the Family Certification and Elderly and Disabled Divisions.

The Division follows the same process for cases that it receives from the Family Certification and Elderly and Disabled Divisions that are followed for those other divisions. For the cases that it receives from other agencies and programs, such as the Refugee Resettlement Program, the Division primarily checks to verify that these cases have been handled correctly by these agencies and programs. The staff is required to complete most functions on a manual basis. The AMAES system is used to record all case decisions.

The overall eligibility determination process that is followed by Certification Support staff is shown below.

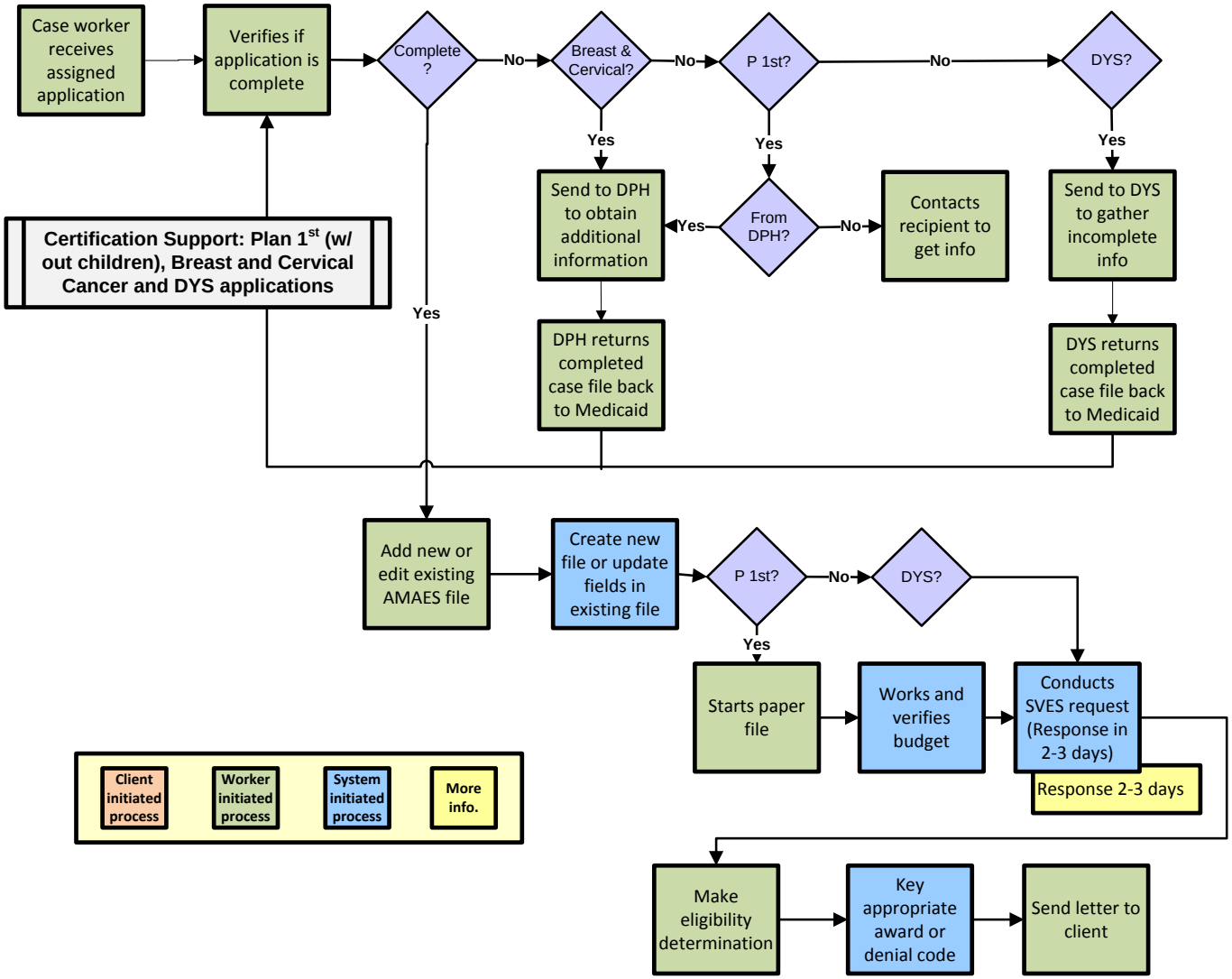


Figure 26: Current Eligibility Determination Process for Certification Support

CURRENT: Certification Support Case Maintenance and Redetermination Process

The case maintenance and redetermination process that is followed for the Breast and Cervical Cancer program, Plan First for women without children, and the Department of Youth Services is shown below.

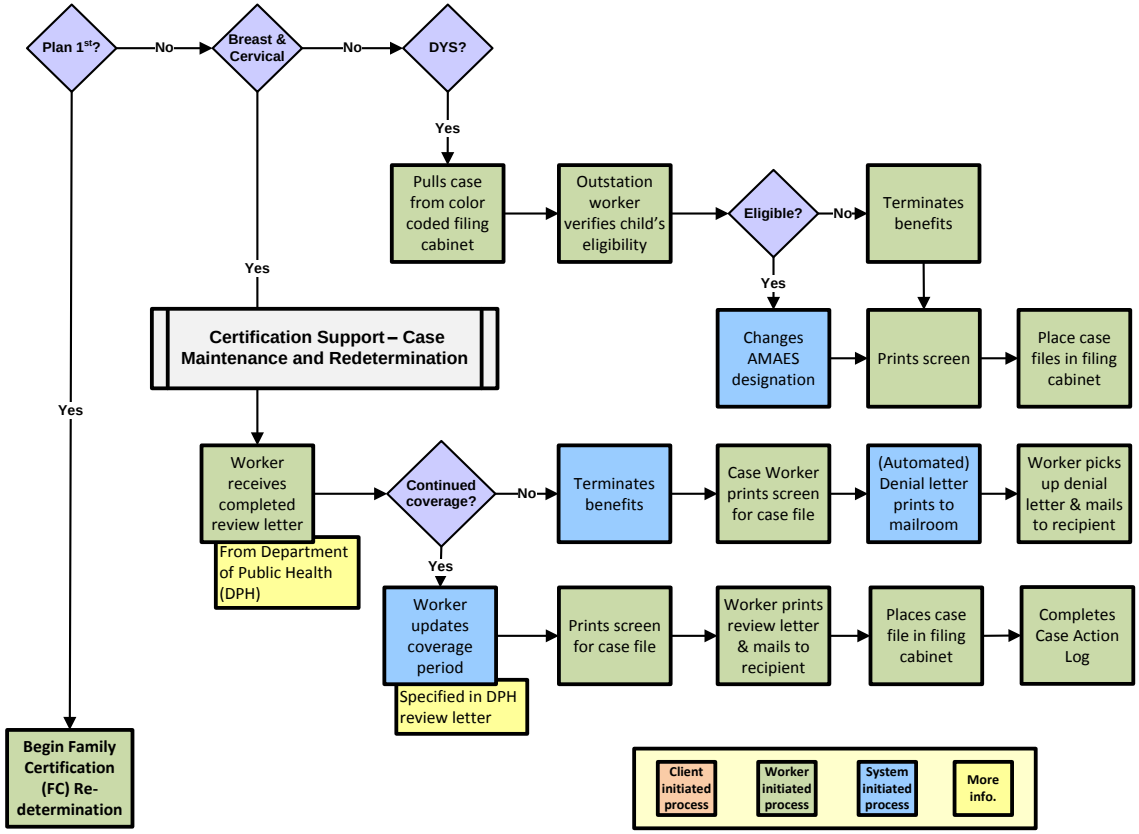


Figure 27: Current Certification Support for Case Maintenance and Redetermination

APPENDIX E: MANDATORY REQUIREMENTS

See the Baseline System Requirements and Specifications Document

APPENDIX F: PROCUREMENT LIBRARY

The following items can be found in the Agency's Procurement Library:

Alabama Internal Memorandum 910

Alabama Medicaid Agency Standard Forms

Alabama Medicaid Agency Standard Reports

Alabama State Aid Categories

Americans with Disabilities Act (ADA)

Baseline System Requirements and Specifications

Beneficiary Services Wish List

BPR Assessment, Analysis and Design Document

Child Online Privacy Protection Act

Computer Matching and Privacy Protection Act of 1988 (CMPPA)

Database Coding Guidelines
http://unite.ms-medicaid.al/teams/NSS/sqladmin/SQL%20Documentation/Revise%20Database%20Procedure/Database%20Coding%20Guidelines.docx

Database Naming Standards
http://unite.ms-medicaid.al/teams/NSS/sqladmin/SQL%20Documentation/Revise%20Database%20Procedure/Database%20Naming%20Standards.docx

Disaster Recovery Plan in accordance to the "45 CFR 95.621(f)" Federal guideline

Disaster Recovery Plan in accordance to the State of Alabama policy entitled, "Policy 700-00: Disaster Recovery"

Disaster Recovery Plan in accordance to the Alabama Medicaid Memorandum No. 108, dated February 1, 2010, Subject: "Disaster/Recovery for Medicaid"

Federal Information Processing Standard (FIPS)

FIPS PUB 186-3 Digital Signature Standard June 2009

Federal Information Security Management Act (FISMA)

Federal Records Retention Schedule 44 U.S.C. 3303a

Health Information Seven (HL7) version 3 R-MIM standards

HIPAA

HIPAA – 270 Healthcare Eligibility Benefit Inquiry

HIPAA – 271 Healthcare Eligibility Benefit Response

HIPAA – 278 Healthcare Services Review and Response

HIPAA – National Provider Identifier (NPI) generation / Provider Taxonomy

HIPAA – National Employer Identifier

Information Technology Accessibility Standards

Interface Control Document

Internal revenue Code section 6103

IRS Pub 1075

IS-NSPP-0003 - Development and Maintenance of Database
http://unite.ms-medicaid.al/teams/NSS/sqladmin/SQL%20Documentation/Revise%20Database%20Procedure/IS-NSPP-0003%20-%20Development%20and%20Maintenance%20of%20Database.docx

IS-NSPP-0004 - Handling Special Request
http://unite.ms-medicaid.al/teams/NSS/sqladmin/SQL%20Documentation/Revise%20Database%20Procedure/IS-NSPP-0004%20-%20Handling%20Special%20Request.docx

IS-NSPP-0005 - Handling Database Objects
http://unite.ms-medicaid.al/teams/NSS/sqladmin/SQL%20Documentation/Revise%20Database%20Procedure/IS-NSPP-0005%20-%20Handling%20Database%20Objects.docx

IS-NSPP-0010 - Development and Maintenance of Web Application
http://unite.ms-medicaid.al/teams/NSS/sqladmin/SQL%20Documentation/Revise%20Database%20Procedure/IS-NSPP-0010%20-%20Development%20and%20Maintenance%20of%20Web%20Application.docx

Joint OCIIO/CMS Guidance for Exchange and Medicaid Information Technology (IT) Systems

Microsoft strong password plug-in
https://www.microsoft.com/protect/fraud/passwords/checker.aspx?WT.mc_id=Site_Link

MITA Health Information Seven (HL7) Version 3 Reference Information Model (RIM) and associated Refined Message Information Models (R-MIMs) data standards

MITA 2.01 State Self-Assessment Report

National International Exchange Model (NIEM)

National Institute of Standards and Technology (NIST) Cryptographic Module Validation List (http://csrc.nist.gov/groups/STM/cmvp/validation.html)

National Institute of Standards and Technology (NIST) Special Publication 800-111 Storage Encryption Technologies for End User Devices

National MITA standards and uniform data and processes

OASIS Web Services Security Specification 1.1

Part 11 of the State Medicaid Manual

Privacy Act of 1974 at 5 U.S.C. 552a

Records Usage, Duplication, Retention, Re-disclosure and Timely Destruction Procedures/Restrictions 5 U.S.C. 552a (o)(1)(F), (H) and (I)

Rehabilitation Act Electronic and Information Technology Accessibility Standards (Section 508)

SSA Information System Security Guidelines for Federal, State, and Local Agencies

State defined Enterprise Software Standards

State ISD Portal Standards

State Look and Feel Standard for Web Applications

State of Alabama policy on Software Licensing according to the publication entitled, "Policy 630-06_Rev A: Software Licensing and Use"

State of Alabama – Baseline 660-02B1_Rev A: Server Security

State of Alabama – Baseline 660-02B2: Client Security

State of Alabama – Guideline 660-01G1: Application Security - SQL Injection

State of Alabama – Guideline 660-01G2: Input Validation and Data Security

State of Alabama – Guideline 660-01G3: Database Security

State of Alabama – Guideline 660-01G4: Error Handling

State of Alabama – Guideline 660-02G2: Firewall Security

State of Alabama – Guideline 660-02G5: Security Engineering Principles

State of Alabama – Guideline 660-02G6: Domain Name System (DNS) Security

State of Alabama – Policy 660-03: Application Security Testing

State of Alabama – Standard 620-03S1_Rev A: Authentication - Passwords

State of Alabama – Standard 620-03S2_Rev A: Authentication - Biometrics

State of Alabama – Standard 640-01S1: Interconnecting IT Systems

State of Alabama – Standard 640-01S2: Secure Web Application Development

State of Alabama – Standard 640-02S1_Rev A: Remote Access Controls

State of Alabama – Standard 640-02S2: Virtual Private Networks

State of Alabama – Standard 640-02S3_Rev A: Dial-In Access/Modem Use

State of Alabama – Standard 640-03S1: Wireless Networks

State of Alabama – Standard 640-03S2_Rev B: Wireless Clients

State of Alabama – Standard 640-03S3: Bluetooth Security

State of Alabama – Standard 650-01S1: Physical Security

State of Alabama – Standard 650-01S2: Physical Access Control

State of Alabama – Standard 660-01S1: Application Security - Mobile Code

State of Alabama – Standard 660-02S1: Laptop Security

State of Alabama – Standard 660-02S2: PDA Security

State of Alabama – Standard 670-04S1_Rev A: Virus Protection

State of Alabama – Standard 670-05S1_Rev A: Intrusion Detection and Prevention Systems

State of Alabama – Standard 670-06S1: Log Management

State of Alabama – Standard 670-07S1: Backup and Recovery

State of Alabama – Standard 670-08S1: Secure System Maintenance

State of Alabama – Standard 680-01S1: Information Protection

State of Alabama – Standard 680-01S2: Protecting PII

State of Alabama – Standard 680-01S3: Removable Storage Devices

State of Alabama – Standard 680-01S4: Media Sanitization

State of Alabama – Standard 680-03S1_Rev B: Encryption

State of Alabama – Standard 1210-00S1_Rev A: Online Privacy and Data Collection

State of Alabama – Standard 1210-00S2: Universal Accessibility

State of Alabama – Standard 1210-00S3: Online Security Statement

State of Alabama – Standard 1210-00S4: Hypertext Linking

State Server Platform Technology Standards

Title XIX Confidentiality Rules

W3C Markup Validation Service (http://validator.w3.org/)

Web Services Description Language (WSDL) standards

Web Services for Remote Portlets (WSRP) network protocol standards

APPENDIX G: STATE TECHNICAL ARCHITECTURE

The Agency currently utilizes 2 platforms – an internal Microsoft Windows 2008 Active Directory domain and ISD State Data Center IBM z/800 Model 2066-003 mainframe computer.

Current Mainframe Narrative

Basic functions of the State data center mainframe computer:

- Serves as a data repository for many of the data files that Medicaid utilizes on a daily basis. The storage medium consists of disk, tape, cartridge, and optical.
- Provides access to mainframe application and system software
- Provides telecommunication link to Medicaid users for access to files, processors, printers, etc. located at the data center
- File transfer with HP in Montgomery, AL and Orlando, FL

Current Microsoft Windows 2008 Active Directory Domain Narrative

Basic functions of the internal Microsoft Windows 2008 Active Directory domain:

- Provides Medicaid users access to internal Medicaid applications; such as the Medicaid Personnel System, Accounts Payable System, Security Awareness Training, etc.
- Provides authentication and authorization for domain resources
- Provides basic file and print services for Medicaid users
- Provides internal DNS & DHSP services

Current Wide Area Network Narrative

Basic functions of the Agency Wide Area Network:

- Provides access between the nine (9) remote district offices with access to the local area network
- Provides connectivity to the ISD mainframe via the campus ring connection
- Provides connectivity to HP resources at the TechnaCenter location
- Provides external email, DNS, and Internet services

Current Technical Infrastructure

Main office users access the LAN using TCP/IP over Ethernet. The nine (9) external District Offices access the WAN using TCP/IP over Ethernet via T-1 connections to Medicaid's local AT&T POP. A T-1 connects the local POP to a router at the main office. The main office and district offices access the ISD mainframe through an ISD provided PASSPORT Web-to-Host Server 3270 Emulator web browser application.

LAN/WAN Software Standards

- Microsoft Windows 7 32 Bit
- Internet Explorer 8.0

- McAfee Anti-Virus
- Microsoft Office 2007 (Professional)

LAN/WAN Hardware Standards

- IBM z/800 Model 2066-003 mainframe - currently running z/OS 1.9.
- Disk storage consists of two (2) 10TB IBM 2105 Shark storage subsystems. One is used for production data bases and other data sets. The other IBM 2105 will be used to store virtual tape data.
- Physical tape storage consists mainly of four (4) StorageTek tape cartridge silos housing both 200MB and 20GB tapes. The plan is to migrate to the aforementioned virtual tape system (late summer 2009) and upgrade the physical tapes to IBM 3592 Model 500GB tapes housed in an IBM 3494 Automatic Tape Library (ATL). Upon successful implementation of the virtual tape system and the ATL the four (4) StorageTek silos will be de-installed.
- A Disaster Recovery (DR) data center is being established in the Alabama State House. It will mirror the production data center.
- The ISD mainframe supports both TCP/IP and SNA based data communications and has a web site on the Internet.
- TN3270 access is possible via the Internet with the proper security clearances.
- Both IMS and CICS based transaction subsystems are run.
- TCP/IP-based File Transfer Protocol (FTP) is the preferred file transfer platform and secure FTP (SFTP) is available.

Medicaid Hardware

Medicaid DO (District Offices) Switches – Cisco Catalyst 3500XL & Cisco Catalyst 3560

Tablet PC LE1700	
Base Unit:	LE1700
Processor:	INTEL CORE 2 DUO 1.5GHz 8
Memory:	1GB RAM
Keyboard:	
Monitor:	
Video Card:	
Hard Drive:	60GB
Floppy Disk Drive:	
Operating System:	
Mouse:	
NIC:	
CD-ROM or DVD-ROM Drive:	
Sound Card:	
Speakers:	

Notebook Latitude D830	
Base Unit:	Latitude D830
Processor:	INTEL CORE 2 DUO T7300 2.0GHz 8 MHZ 4M CACHE DUAL CORE PROCESSOR
Memory:	2GB RAM DDR2-667 SDRAM 2 DIMM
Keyboard:	Internal English
Monitor:	17.4 INCH WIDE SCREEN WXGA
Video Card:	256MB NVIDIA QUADRO NVS
Hard Drive:	80GB 7200 RPM
Floppy Disk Drive:	FLOPPY DRIVE
Operating System:	Windows XP PRO SP2
Mouse:	TOUCHPAD
NIC:	
CD-ROM or DVD-ROM Drive:	8X DVD +/- RW
Sound Card:	
Speakers:	

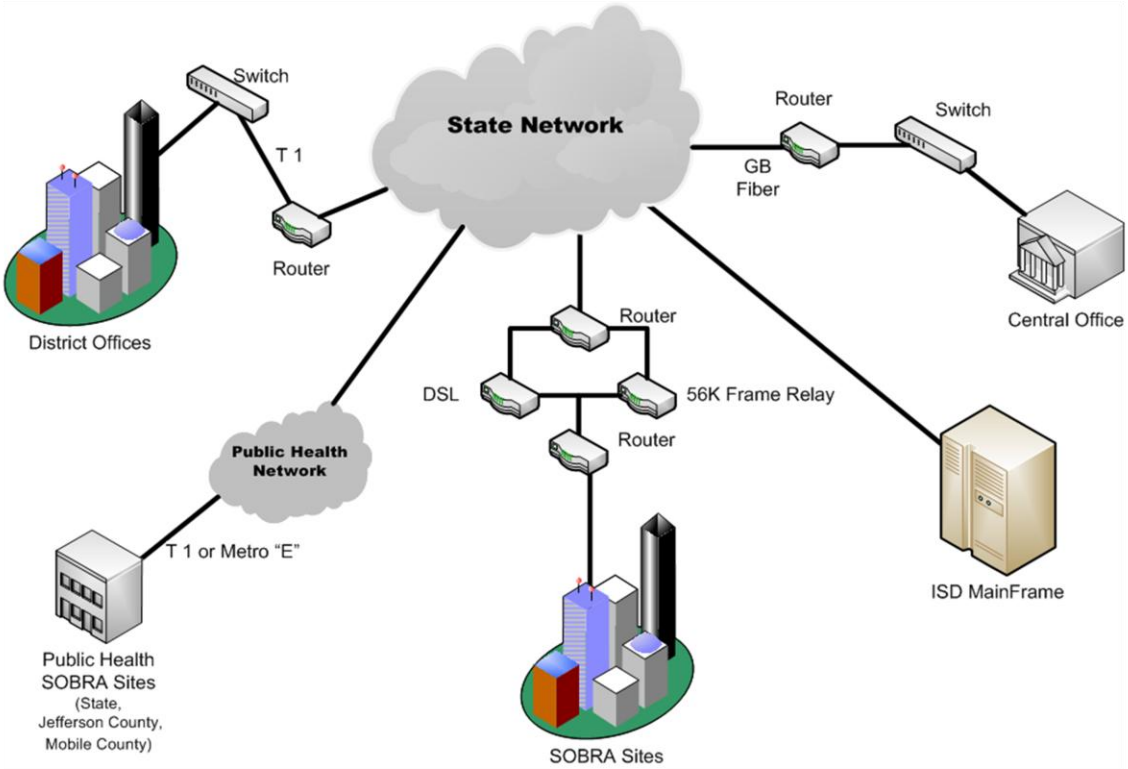
Desktop OptiPlex GX620	
Base Unit:	OptiPlex GX620
Processor:	INTEL P4 620 W/HT 3.2GHz
Memory:	1GB RAM
Keyboard:	Standard
Monitor:	
Video Card:	VIDEO/Graphics – PCIE 256MB CARD, VGA/DVI ADAPTER, DUAL Monitor 128MB
Hard Drive:	160GB 7200 RPM SATA
Floppy Disk Drive:	None
Operating System:	Windows XP PRO
Mouse:	Dell USB 2 Button Optical Mouse with scroll
NIC:	Integrated 10/100/1000 Ethernet
CD-ROM or DVD-ROM Drive:	Optical Drive Combo CD-RW/DVD-ROM
Sound Card:	
Speakers:	Standard Dell

New Desktop Replacements

OptiPlex GX760	
Base Unit:	OptiPlex 760 Small Form FactorBase Standard PSU (224-2219)
Processor:	OptiPlex 760,Core 2 Duo E8400/3.0GHz,6M,1333FSB (311-9513)
Memory:	2GB,Non-ECC,800MHz DDR2,2X1GB OptiPlex (311-7374)
Keyboard:	Dell USB Keyboard, No Hot Keys English, Black, OptiPlex (330-1987)
Monitor:	No Monitor Selected, OptiPlex (320-3704)
Video Card:	256MB ATI RADEON HD 2400 Pro Single Monitor Graphics w/DVI and TV Outflow Profile, Dell OptiPlex (320-5740)
Hard Drive:	160GB SATA 3.0Gb/s and 8MB Data Burst Cache, Dell OptiPlex (341-8007)
Floppy Disk Drive:	3.5 inch, 1.44MB, Slimline Floppy Drive, Dell OptiPlex Small Form Factor (341-4611)
Operating System:	Windows 7
Mouse:	Dell USB 2 Button Optical Mouse with Scroll, Black OptiPlex (330-2733)
NIC:	Intel Standard Manageability Hardware Enabled Systems Management, Dell OptiPlex (330-2902)
CD-ROM or DVD-ROM Drive:	Roxio Creator Dell Edidion,9.0Dell OptiPlex (420-7963)
CD-ROM or DVD-ROM Drive:	Cyberlink Power DVD 8.1,with Media, Dell OptiPlex/Precision (420-9179)
CD-ROM or DVD-ROM Drive:	8X DVD+/-RW, Slimline, OptiPlex Small Form Factor (313-6092)
Sound Card:	Heat Sink, Mainstream, Dell OptiPlex Small Form Factor (311-9520)
Speakers:	Dell AX210 two piece stereo Speakers (Black) for Latitude, Precision (313-6517)
Cable:	OptiPlex 760 Small Form Factor Standard Power Supply (330-1984)

Storage Area Network: CX4-480	
Base Unit	Dell/EMC CX4-480
System Cache	16 GB
Storage	Current: 28 TB raw storage Expansion Capability: Up to 216 TB raw storage
RAID Levels	RAID 0. 1. 1/0. 3.5. and 6
Number of Supported Hosts	Up to 256 SAN attached HA connected hosts
Connectivity	8Gbit Fiber Channel and 1 Gbit discs

Medicaid Sites ISD Mainframe Connectivity



APPENDIX H: SAMPLE COMPUTER ACCEPTABLE USE AGREEMENT

Alabama Medicaid Agency
Medicaid

In order to help keep the computer network environment safe, there are a few steps that need to occur prior to a non-Alabama Medicaid computer laptop plugging into the network. There are basically three parts to the process described in detail below.

Part I

If you, as an Alabama Medicaid staff member, have someone external scheduled for a visit, please check with him/her prior to his/her visit to inquire if he/she will need to plug in any computers/laptops to the network. If so, send the visitor the checklist in Part III of this document in advance of his/her visit to help ensure he/she prepares his/her computer/laptop with any required updates and anti-virus definitions. Also, inform your visitor to be sure to arrive with enough time before requiring network access to have his/her computer/laptop verified prior to plugging in.

If your visitor does not need access to the Alabama Medicaid network, then none of this applies.

Part II

Upon check-in at the reception desk, the visitor (or Contractor/Vendor) will check on the sign in sheet whether or not he/she needs access to the Alabama Medicaid network. If the visitor checks "Yes," he/she will be directed to a Network & Systems Support (NSS) staff member to have his/her computer/laptop verified for safety prior to plugging into the Alabama Medicaid network.

At that time, the visitor will provide his/her name and contact information on the Checklist Form. The NSS representative will then give the visitor (or Contractor/Vendor) an estimated time when the verification process is complete.

Part III (for NSS staff member)

Below is a list of items that need to be checked before attaching a non-Medicaid computer/laptop to the network.

Under NO circumstances should you install or uninstall anything on the computer/laptop. Only check for these items, document any missing items and give the visitor (or Contractor/Vendor) that information when his/her computer/laptop is returned. If the visitor (or Contractor/Vendor) is willing to update the computer/laptop and have it rechecked, that is acceptable. However, the visitor cannot plug into the network until the computer/laptop passes inspection.

Fill out the contact information at the bottom of this form first.

Check for any form of Anti-Virus program that will prevent the device from becoming infected.

Verify that the Anti-Virus program is enabled and is actively checking the system for suspicious programs and files.

Check to see if there are any viruses that were detected by the software. Verify that the Anti-Virus definition is up to date.

Make sure that the Operating System (OS) has the latest service pack.

Check to see that Microsoft Critical Updates are installed to ensure that the Operating System is patched with security fixes. To do this:

- Go to Control Panel
- Add/Remove Programs
- Check the box to Show Updates
- Scroll to the bottom of the list to see the last date of the installed updates
- If the last update was more than a month ago, there are probably updates that are needed, since Microsoft published updates normally every month

Identify any applications that could be a security risk when connecting the device to the network. Some programs that are of concern are:

- Zone Alarm
- Bare share

Document any items that are missing and return the computer/laptop with the information to the visitor or Contractor/Vendor. Inform the visitor that if he/she would like to perform the updates and resubmit it for approval, that is possible.

Contact Information:

Name: _____ Date and time: _____

Phone Number (where visitor or Contractor/Vendor can be reached if needed during the validation process): _____

Company:

Technician Information:

Name of NSS Technician performing validation:

Estimated time to complete validation:

This computer/laptop has been:

Approved ☐

Denied ☐

If the computer/laptop is ***approved***, it has been validated and is allowed to connect to the Alabama Medicaid network. The visitor (or Contractor/Vendor) must please review the "S600-06 Computer Acceptable Use" and "S600-07 Mobile Computing Devices" policies and sign below.

If the computer/laptop is ***denied***, it is not allowed to connect to the Alabama Medicaid network until updates are installed and the computer/laptop is re-verified and approved.

I, (print name) _____ have read and agree to the Alabama Medicaid "S600-06 Computer Acceptable Use" and "S600-07 Mobile Computing Devices" policies.

Signature_____ Date_____

Documents in the following Appendices must be signed AFTER contract award and prior to the meeting of the Legislative Contract Oversight Committee Meeting:

- Appendix O: Contract Review Report for Submission to Oversight Committee
- Appendix P: Immigration Status
- Appendix Q: Letter Regarding Reporting to Ethics Commission
- Appendix R: Instructions for Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion

The following represents an example of a contract:

Sample Contract

KNOW ALL MEN BY THESE PRESENTS, that the Alabama Medicaid Agency, an Agency of the State of Alabama, and the undersigned Contractor agree as follows:

Contractor shall furnish all labor, equipment, and materials and perform all of the work required under the Request for Proposal (RFP) Number 2011-RSMP-001, dated XXXXX, 2010, strictly in accordance with the requirements thereof and Contractor's response thereto.

Contractor shall be compensated for performance under this contract in accordance with the provisions of Section 6.8 and the price provided on the RFP Cover Sheet.

This contract specifically incorporates by reference the said RFP, any attachments and amendments thereto, and Contractor's response, including all attachments.

CONTRACTOR

_____

_____
Date Signed

_____

_____
Title

ALABAMA MEDICAID AGENCY
this contract has been reviewed
For and is approved as to content.

_____
Commissioner

_____
Date Signed

this contract has been reviewed for Printed Name
legal form and complies with all
applicable laws, rules and regulations of
the State of Alabama governing these
matters.

_____
Medicaid Legal Counsel

APPROVED

_____

APPENDIX I: CONTRACT REVIEW REPORT FOR SUBMISSION TO OVERSIGHT COMMITTEE

Contract Review Permanent Legislative Oversight Committee
Alabama State House
Montgomery, Alabama 36130

CONTRACT REVIEW REPORT

(Separate review report required for each contract)

Name of State Agency: Alabama Medicaid Agency

Name of Contractor: _____

_____
Contractor's Physical Street Address(No. P.O. Box) City State

* Is Contractor organized as an Alabama Entity in Alabama? Yes_____ NO_____
* If not, has it qualified with the Alabama Secretary of State to do business in Alabama? Yes_____No_____

Is Act 2001-955 Disclosure Form Included with this Contract? YES _____ NO___
Does Contractor have current member of Legislature or family member of Legislator employed? Yes_____No _____

Was a Lobbyist/Consultant Used to Secure this Contract OR affiliated with this contractor? ___YES___ _____NO
If Yes, Give Name: _____

Contract Number:_____

Contract/Amendment Total: $ _____ (estimate if necessary)

% of State Funds:_____ % of Federal Funds: _____ % Other Funds:__

**Please Specify source of Other Funds (Fees, Grants, etc.) _____

Date Contract Effective: _____ Date Contract Ends: _____

Type of Contract: NEW: _____ RENEWAL: _____ AMENDMENT:_____

If renewal, was it originally Bid? Yes _____ No _____

If AMENDMENT, Complete A through C:

[A] Original contract total $ _____

[B] Amended total prior to this amendment $ _____

[C] Amended total after this amendment $ _____

Was Contract secured through Bid Process? Yes ____ No ____ Was lowest Bid accepted? Yes ___ No____

Was Contract secured through RFP Process? Yes ____ No ___ **Date RFP was awarded** _____

Summary of Contract Services to be Provided:

Why Contract Necessary AND why this service cannot be performed by merit employee:

I certify that the above information is correct.

_____ _____

Signature of Agency Head Signature of Contractor

_____ _____

Printed Name Printed Name

Agency Contact:_____Phone:_____

Revised: 04/11/2011

GOVERNOR'S ADDITIONAL CONTRACT QUESTIONS FORM

(1) If this contract was not competitively **Bid**, explain why not:

(2) If this contract was not competitively **Bid** because the contractor is a sole source provider, please explain who made the sole source determination and on what basis:_____
_____
_____

(3) If contract was awarded by **RFP**, what process was used, was it competitive, how many vendors were contacted, and how many proposals were received?
_____
_____

(4) If contract was awarded by **RFP**, was it awarded to the person or company with the lowest monetary proposal?
If not, explain why not._____
_____

(5) If contract was awarded by **RFP**, how and by whom were the proposals evaluated?
_____
_____

(6) If this contract was not awarded through either **Bid** or **RFP** process, why not?

(7) If this contract was not awarded through either Bid or **RFP** process, how was it awarded?

(8) Did agency attempt to hire a **State Employee**? If so who from the State Personnel Department did you talk to?

(9) How many additional contracts does contractor have with the State of Alabama and which agencies are they with?_____

_____

_____

R. Bob Mullins, Jr., MD

APPENDIX J: IMMIGRATION STATUS

IMMIGRATION STATUS

I hereby attest that all workers on this project are either citizens of the United States or are in a proper and legal immigration status that authorizes them to be employed for pay within the United States.

_____
Signature of Contractor

_____
Witness

APPENDIX K: LETTER REGARDING REPORTING TO ETHICS COMMISSION

MEMORANDUM

TO: All Persons Under Contract With the Agency and All Agency Staff

FROM: R. Bob Mullins, Jr., MD
Commissioner

SUBJECT: Reporting to Ethics Commission by Persons Related to Agency Employees

Section 36-25-16(b) Code of Alabama (1975) provides that anyone who enters into a contract with a state agency for the sale of goods or services exceeding $7500 shall report to the State Ethics Commission the names of any adult child, parent, spouse, brother or sister employed by the agency.

Please review your situation for applicability of this statute. The address of the Alabama Ethics Commission is:

100 North Union Street
RSA Union Bldg.
Montgomery, Alabama 36104

A copy of the statute is reproduced below for your information. If you have any questions, please feel free to contact Stephanie Azar, Agency General Counsel, at 242-5126.

Section 36-25-16. Reports by persons who are related to public officials or public employees and who represent persons before regulatory body or contract with state.

(a) When any citizen of the state or business with which he or she is associated represents for a fee any person before a regulatory body of the executive branch, he or she shall report to the commission the name of any adult child, parent, spouse, brother, or sister who is a public official or a public employee of that regulatory body of the executive branch.
(b) When any citizen of the State or business with which the person is associated enters into a contract for the sale of goods or services to the State of Alabama or any of its agencies or any county or municipality and any of their respective agencies in amounts exceeding seven thousand five hundred dollars ($7500) he or she shall report to the commission the names of any adult child, parent, spouse, brother, or sister who is a public official or public employee of the agency or department with whom the contract is made.
(c) This section shall not apply to any contract for the sale of goods or services awarded through a process of public notice and competitive bidding.
(d) Each regulatory body of the executive branch, or any agency of the State of Alabama shall be responsible for notifying citizens affected by this chapter of the requirements of this section. (Acts 1973, No. 1056, p. 1699, §15; Acts 1975, No. 130, §1; Acts 1995, No. 95-194, p. 269, §1.)

Alabama Medicaid Agency

501 Dexter Avenue
P.O. Box 5624
Montgomery, Alabama 36103-5624

www.medicaid.alabama.gov
e-mail: almedicaid@medicaid.alabama.gov

ROBERT BENTLEY
Governor

Telecommunication for the Deaf: 1-800-253-0799
334-242-5000 1-800-362-1504

R. BOB MULLINS, JR., MD
Commissioner

MEMORANDUM

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Section 36-25-16. Reports by persons who are related to public officials or public employees and who represent persons before regulatory body or contract with state.

(a) When any citizen of the state or business with which he or she is associated represents for a fee any person before a regulatory body of the executive branch, he or she shall report to the commission the name of any adult child, parent, spouse, brother, or sister who is a public official or a public employee of that regulatory body of the executive branch.

(b) When any citizen of the State or business with which the person is associated enters into a contract for the sale of goods or services to the State of Alabama or any of its agencies or any county or municipality and any of their respective agencies in amounts exceeding seven thousand five hundred dollars ($7500) he or she shall report to the commission the names of any adult child, parent, spouse, brother, or sister who is a public official or public employee of the agency or department with whom the contract is made.

(c) This section shall not apply to any contract for the sale of goods or services awarded through a process of public notice and competitive bidding.

(d) Each regulatory body of the executive branch, or any agency of the State of Alabama shall be responsible for notifying citizens affected by this chapter of the requirements of this section. (Acts 1973, No. 1056, p. 1699, §15; Acts 1975, No. 130, §1; Acts 1995, No. 95-194, p. 269, §

APPENDIX L: INSTRUCTIONS FOR CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY, AND VOLUNTARY EXCLUSION

Instructions for Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion

(Derived from Appendix B to 45 CFR Part 76--Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions)

1. By signing and submitting this contract, the prospective lower tier participant is providing the certification set out therein.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this contract was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the Alabama Medicaid Agency (the Agency) may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the Agency if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, and voluntarily excluded, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this contract is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this contract that, should the contract be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this contract that it will include this certification clause without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a

person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the Agency may pursue available remedies, including suspension and/or debarment.

APPENDIX M: MEDICAID BUSINESS ASSOCIATE ADDENDUM

Medicaid Business Associate Addendum

(SAMPLE)

ALABAMA MEDICAID AGENCY
BUSINESS ASSOCIATE ADDENDUM

This Business Associate Addendum (this "Agreement") is made effective the _____ day of _____, 20____, by and between the Alabama Medicaid Agency ("Covered Entity"), an agency of the State of Alabama, and _____ ("Business Associate") (collectively the "Parties").

1. BACKGROUND

a. Covered Entity and Business Associate are parties to a contract entitled _____ (the "Contract"), whereby Business Associate agrees to perform certain services for or on behalf of Covered Entity.

b. The relationship between Covered Entity and Business Associate is such that the Parties believe Business Associate is or may be a "business associate" within the meaning of the HIPAA Privacy Rule (as defined below).

c. The Parties enter into this Business Associate Addendum to the Contract with the intention of complying with the HIPAA Privacy Rule provision that a covered entity may disclose protected health information to a business associate, and may allow a business associate to create or receive protected health information on its behalf, if the covered entity obtains satisfactory assurances that the business associate will appropriately safeguard the information.

2. DEFINITIONS

Unless otherwise clearly indicated by the context, the following terms shall have the following meaning in this Agreement:

a. "Breach" shall mean the acquisition, access, use, or disclosure of protected health information which compromises the security or privacy of such information, except where an unauthorized person to whom such information is disclosed would not reasonably have been able to retain such information.

b. "Electronic Health Record" shall mean an electronic record of health-related information on an individual that is created, gathered, managed, and consulted by authorized healthcare clinicians and staff.

c. "Electronic Protected Health Information" means Protected Health Information that is transmitted by Electronic Media (as defined in the Security and Privacy Rule) or maintained in Electronic Media.

d. "HIPAA" means the Administrative Simplification Provisions, Sections 261 through 264, of the Federal Health Insurance Portability and Accountability Act of 1996, Public Law 104-191.

e. "Individual" shall have the same meaning as the term "individual" in 45 CFR 174.501 and shall include a person who qualifies as a personal representative in accordance with 45 CFR 174.502(g).

f. "Personal Health Record" shall mean an electronic record of identifiable health information on an individual that can be drawn from multiple sources and that is managed, shared, and controlled by or primarily for the individual.

g. "Privacy Rule" shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 CFR part 170 and part 174, subparts A and E.

h. "Protected Health Information" (PHI) shall have the same meaning as the term "protected health information" in 45 CFR 174.501, limited to the information created or received by Business Associate from or on behalf of Covered Entity.

i. "Required By Law" shall have the same meaning as the term "required by law" in 45 CFR 174.501.

j. "Secretary" shall mean the Secretary of the United States Department of Health and Human Services or his designee.

k. "Security Incident" shall mean the attempted or successful unauthorized access, use, disclosure, modification, or destruction of information or interference with system operations in an information system.

l. "Security Rule" shall mean the Security Standards for the Protection of Electronic Protected Health Information at 45 CFR Parts 170 and 172, and Parts 174, Subparts A and C. The application of Security provisions Sections 174.308; 174.310, 174.312, and 174.317 of title 45, Code of Federal Regulations shall apply to a business associate of a covered entity in the same manner that such sections apply to the covered entity.

m. Unless otherwise defined in this Agreement, capitalized terms used herein shall have the same meaning as those terms have in the Privacy Rule.

n. "Unsecured Protected Health Information" is information that is not rendered unusable, unreadable, or indecipherable to unauthorized individuals by mean of technology or methodology specified by the Secretary of Health and Human Services in the guidance issued under section 13402(h)(2) of Public Law 111–5.

3. OBLIGATIONS OF BUSINESS ASSOCIATE

a. Use and Disclosure of PHI. Business Associate agrees to not use or disclose PHI other than as permitted or required by this Agreement or as required by law.

b. Appropriate Safeguards. Business Associate agrees to use appropriate safeguards to prevent use or disclosure of the PHI other than as provided for by this Agreement. The Business Associate agrees to take steps to safeguard, implement, and maintain PHI in accordance with the HIPAA Privacy Rule.

c. Mitigation. Business Associate agrees to mitigate, to the extent practicable, any harmful effect that is known to Business Associate of a use or disclosure of PHI by Business Associate in violation of the requirements of this Agreement.

d. Report Unauthorized Use or Disclosure. Business Associate agrees to promptly report to Covered Entity any use or disclosure of PHI not provided for by this Agreement of which it becomes aware.

e. Applicability to Business Associate's Agents. Business Associate agrees to ensure that any agent, including a subcontractor, to whom it provides PHI received from, or created or received by the Business Associate on behalf of, Covered Entity agrees to the same restrictions and conditions that apply through this Agreement to Business Associate with respect to such information. The Business Associate agrees to have HIPAA-compliant Business Associate Agreements or equivalent contractual agreements with agents to whom the Business Associate discloses Covered Entity PHI.

f. Access. Upon receipt of a written request from Covered Entity, Business Associate agrees to provide Covered Entity, in order to allow Covered Entity to meet its requirements under 45 CFR 174.524, access to PHI maintained by Business Associate in a Designated Record Set within thirty (30) business days.

g. Amendments to PHI. Business Associate agrees to make any amendment(s) to PHI maintained by Business Associate in a Designated Record Set that Covered Entity directs or agrees to, pursuant to 45 CFR 174.526 at the request of Covered Entity, within thirty (30) calendar days after receiving a written request for amendment from Covered Entity.

h. Availability of Documents. Business Associate agrees to make internal practices, books, and records, including policies and procedures and PHI, relating to the use and disclosure of PHI received from, or created or received by the Business Associate on behalf of, Covered Entity, available to Covered Entity or to the Secretary for purposes of the Secretary determining Covered Entity's compliance with the Privacy and Security Rules, within five business days' after receipt of written notice.

i. Documentation of PHI Disclosures. Business Associate agrees to keep records of disclosures of PHI and information related to such disclosures as would be required for Covered Entity to respond to a request by an individual for an accounting of disclosures of PHI in accordance with 45 CFR 174.528.

j. Accounting of Disclosures. The Business Associate agrees to provide to Covered Entity, within 30 days of receipt of a written request from Covered Entity, information collected in accordance with the documentation of PHI disclosure of this Agreement, to permit Covered Entity to respond to a request by an Individual or an authorized representative for an accounting of disclosures of PHI in accordance with 45 CFR 174.528.

k. The Business Associate shall maintain a comprehensive security program appropriate to the size and complexity of the Business Associate's operations and the nature and scope of its activities as defined in the Security Rule.

l. The Business Associate shall notify the Covered Entity immediately following the discovery of a breach of Protected Health Information (PHI).

m. The Business Associate shall provide the Covered Entity the following information when a breach of unsecured protected health information is discovered:

    1. The number of recipient records involved in the breach.
    2. A description of what happened, including the date of the breach and the date of the discovery of the breach if known.
    3. A description of the types of unsecure protected health information that were involved in the breach (such as whether full name, social security number, date of

birth, home address, account number, diagnosis, disability code, or other type information were involved).

4. Any steps the individuals should take to protect themselves from potential harm resulting from the breach.
5. A description of what the Business Associate is doing to investigate the breach, to mitigate harm to individuals and to protect against any further breaches.
6. Contact procedures for individuals to ask questions or learn additional information, which shall include the Business Associate's toll-free number, email address, Web site, or postal address.
7. A proposed media release developed by the Business Associate.

n. The Business Associate shall obtain Covered Entity approval prior to reporting any breach required by 45 CFR Part 174, Subpart D.

o. The Business Associate shall, after receiving Covered Entity approval, provide the necessary notices to the recipient, prominent media outlet, or the Secretary of Health and Human Services (HHS) to report Business Associate breaches as required by 45 CFR Part 174, Subpart D.

p. Covered Entity will coordinate with the Business Associate in the determination of additional specific actions that will be required of the Business Associate for mitigation of the breach.

q. If the Business Associate is a Vendor of personal health records, notification of the breach will need to be made with the Federal Trade Commission.

r. The Business Associate shall be responsible for any and all costs associated with the notification and mitigation of a breach that has occurred because of the negligence of the Business Associate.

s. The Business Associate shall pay all fines or penalties imposed by HHS under 45 CFR Part 170 HIPAA Administrative Simplification: Enforcement rule for breaches made by any employee, officer, or agent of the Business Associate.

t. The Business Associate shall be subject to prosecution by the Department of Justice for criminal violations of HIPAA if the Business Associate obtains or discloses individually identifiable health information without authorization, and shall be responsible for any and all costs associated with prosecution.

4. PERMITTED USES AND DISCLOSURES

Except as otherwise limited in this Agreement, if the Contract permits, Business Associate may use or disclose PHI to perform functions, activities, or services for, or on behalf of, Covered Entity as specified in the Contract, provided that such use or disclosure would not violate the Privacy Rule if done by Covered Entity;

a. Except as otherwise limited in this Agreement, if the Contract permits, Business Associate may use PHI for the proper management and administration of the Business Associate or to carry out the legal responsibilities of the Business Associate.

b. Except as otherwise limited in this Agreement, if the Contract permits, Business Associate may disclose PHI for the proper management and administration of the Business Associate, provided that:

   1. Disclosures are required by Law; or.

2. Business Associate obtains reasonable assurances from the person to whom the information is disclosed that it will remain confidential and used or further disclosed only as Required By Law or for the purpose for which it was disclosed to the person, and the person notifies the Business Associate of any instances of which it is aware in which the confidentiality of the information has been breached.

c. Except as otherwise limited in this Agreement, if the Contract permits, Business Associate may use PHI to provide data aggregation services to Covered Entity as permitted by 42 CFR 174.504(e)(2)(i)(B).

d. Notwithstanding the foregoing provisions, Business Associate may not use or disclose PHI if the use or disclosure would violate any term of the Contract.

5. REPORTING IMPROPER USE OR DISCLOSURE

a. The Business Associate shall report to the Covered Entity any use or disclosure of PHI not provided for by this agreement immediately from the time the Business Associate becomes aware of the use or disclosure.

b. The Business Associate shall report to the Covered Entity any Security Incident and/or breach immediately from the time the Business Associate becomes aware of the use or disclosure.

6. OBLIGATIONS OF COVERED ENTITY

a. Covered Entity shall notify the Business Associate of any limitation(s) in its notice of privacy practices in accordance with 45 CFR 174.520, to the extent that such limitation may affect Alabama Medicaid's use or disclosure of PHI.

b. Covered Entity shall notify the Business Associate of any changes in, or revocation of, permission by an Individual to use or disclose PHI, to the extent that such changes may affect the Business Associate's use or disclosure of PHI.

c. Covered Entity shall notify the Business Associate of any restriction to the use or disclosure of PHI that Covered Entity has agreed to in accordance with 45 CFR 174.522, to the extent that such restriction may affect the Business Associate's use or disclosure of PHI.

d. Covered Entity shall not request Business Associate to use or disclose PHI in any manner that would not be permissible under the Privacy Rule if done by Covered Entity.

e. Covered Entity shall provide Business Associate with only that PHI which is minimally necessary for Business Associate to provide the services.

7. TERM AND TERMINATION

a. **Term**. The Term of this Agreement shall be effective as of the effective date stated above and shall terminate when the Contract terminates.

b. **Termination for Cause**. Upon Covered Entity's knowledge of a material breach by Business Associate, Covered Entity may, at its option:

1. Provide an opportunity for Business Associate to cure the breach or end the violation, and terminate this Agreement if Business Associate does not cure the breach or end the violation within the time specified by Covered Entity;

2. Immediately terminate this Agreement; or
3. If neither termination nor cure is feasible, report the violation to the Secretary as provided in the Privacy Rule.

c. **Effect of Termination**.

1. Except as provided in paragraph (2) of this section or in the Contract, upon termination of this Agreement, for any reason, Business Associate shall return or destroy all PHI received from Covered Entity, or created or received by Business Associate on behalf of Covered Entity. This provision shall apply to PHI that is in the possession of subcontractors or agents of Business Associate. Business Associate shall retain no copies of the PHI.
2. In the event that Business Associate determines that returning or destroying the PHI is not feasible, Business Associate shall provide to Covered Entity notification of the conditions that make return or destruction not feasible. Business Associate shall extend the protections of this Agreement to such PHI and limit further uses and disclosures of such PHI to those purposes that make the return or destruction infeasible, for so long as Business Associate maintains such PHI.

7. GENERAL TERMS AND CONDITIONS

a. This Agreement amends and is part of the Contract.

b. Except as provided in this Agreement, all terms and conditions of the Contract shall remain in force and shall apply to this Agreement as if set forth fully herein. In the event of a conflict in terms between this Agreement and the Contract, the interpretation that is in accordance with the Privacy Rule shall prevail. Any ambiguity in this Agreement shall be resolved to permit Covered Entity to comply with the Privacy Rule.

c. A breach of this Agreement by Business Associate shall be considered sufficient basis for Covered Entity to terminate the Contract for cause.

d. The Parties agree to take such action as is necessary to amend this Agreement from time to time for Covered Entity to comply with the requirements of the Privacy Rule and HIPAA.

IN WITNESS WHEREOF, Covered Entity and Business Associate have executed this Agreement effective on the date as stated above.

ALABAMA MEDICAID AGENCY

Signature:

Printed Name: **Clay Gaddis**

Title: Privacy Officer

Date:

BUSINESS ASSOCIATE

Signature:

APPENDIX N: PERFORMANCE EXPECTATIONS

System Availability
The system shall be available 99.0% of the time on a 24-hour, 7-days per week basis, with the exception of approved maintenance outage time periods. Key: 60741 XRef: TRI002
The system shall be capable of supporting all Medicaid Agency workers performing normal daily business activities concurrently, with the ability to increase supported workers by 50% without modification to the software or degradation in performance (There are currently approximately 600 workers in the Agency). Key: 60745 XRef: TRI001
The system shall be available 99.0% of the time on a 24-hour, 7-days per week basis, with the exception of approved maintenance outage time periods. Key: 60741 XRef: TRI002
The system shall include appropriate checkpoint/restart capabilities, and other features necessary to ensure reliability and recovery, including telecommunications reliability, file backups, and disaster recovery. Key: 60792 XRef: TRI063
The system shall comply with the State of Alabama standards on backup and recovery based on the following publication entitled, "Standard 670-07S1: Backup and Recovery". Key: 60816 XRef: TRS012
The system shall utilize a MITA-compliant enterprise service bus capability that provides failover and redundant capability and service capability to allow information to be shared across systems and information sources, and to build applications that can be reused, and expanded upon for other similar functions. Key: 60711 XRef: TRA012
The system shall include appropriate checkpoint/restart capabilities, and other features necessary to ensure reliability and recovery, including telecommunications reliability, file backups, and disaster recovery. Key: 60792 XRef: TRI063
The system shall comply with the State of Alabama standards on backup and recovery based on the following publication entitled, "Standard 670-07S1: Backup and Recovery". Key: 60816 XRef: TRS012
The system shall utilize a MITA-compliant enterprise service bus capability that provides failover and redundant capability and service capability to allow information to be shared across systems and information sources, and to build applications that can be reused, and expanded upon for other similar functions. Key: 60711 XRef: TRA012
The system shall be capable of supporting those members of the public using the system to apply for benefits or other public user application functions (The Medicaid Agency believes the number of Alabama citizens potentially qualified for Medicaid programs is approximately 1.5 million. The number of concurrent users to be planned for shall be 2,000). Key: 61326 XRef: TRI001.3
The system shall have the data readily available for extraction, without impacting system performance data, to the Enterprise Data Warehouse at intervals defined by the State. Key: 60732 XRef: TRA037
The system shall be available 99.0% to complete interfaces as designed. Key:61410
System Response
The system must provide data from real-time interfaces within 3 seconds of receipt 99.8% of the time. Key: 61411
The system shall provide the capability for an average two second transaction response time (with no individual transaction exceeding 10 seconds) to be consistent for all workers directly interacting with the production environment, based on a common web portal access for network access point, processed and returned to the network access point. Key: 60747 XRef: TRI003

The system shall have a mean response time of 1 second for adding, updating, or deleting data and 99% of all responses shall occur within 1.5 seconds. Key: 60740 XRef: TRI004
The system shall have a mean response time of 2 seconds for retrieval of a record from on-line history and 99% of all responses shall occur within 2.5 seconds. Key: 60737 XRef: TRI005
The system shall have a mean response time of 2 seconds for print initiations and 99% of all responses shall occur within 2.5 seconds. Key: 60743 XRef: TRI008
The system shall be able to display within 1 second each subsequent page of the same document. Key: 60748 XRef: TRI011
The system shall have a mean response time of 2 seconds for retrieval of a record from on-line history, to include searches, and 99% of all responses shall occur within 2.5 seconds. Key: 60737 XRef: TRI005
The system shall have a mean response time of 2 seconds for print initiations and 99% of all responses shall occur within 2.5 seconds. Key: 60743 XRef: TRI008
The system shall have a mean response time of 5 seconds for providing a beneficiary's eligibility or archived history information from secondary storage and 99% of all responses shall occur within 5.5 seconds. Key: 60735 XRef: TRI006
The system shall be able to retrieve any images stored (archived to offsite tertiary storage) more than 84 months according to State's retention policy within 2 Agency work days of the request. Key: 60736 XRef: TRI012
The system shall be able to retrieve any images that are stored on tertiary media devices within 1 Agency work day. Key: 60746 XRef: TRI013
The system shall be able to retrieve any images that are stored on tertiary media devices within 1 Agency work day. Key: 60746 XRef: TRI013
General System Requirements
The system shall comply with the State of Alabama standards on intrusion detection and prevention systems based on the following publication entitled, "Standard 670-05S1_Rev A: Intrusion Detection and Prevention Systems". Key: 60806 XRef: TRS010
The system shall comply with the State of Alabama standards on backup and recovery based on the following publication entitled, "Standard 670-07S1: Backup and Recovery". Key: 60816 XRef: TRS012
The system shall include appropriate checkpoint/restart capabilities, and other features necessary to ensure reliability and recovery, including telecommunications reliability, file backups, and disaster recovery. Key: 60792 XRef: TRI063
The system shall respond to the user’s request to exit 99% of the time within 30 seconds. Key: 61412
The system shall respond to the user’s request to exit 100% of the time within 60 seconds. Key: 61413
The system shall make imaged documents available 99.5% immediately after the image is made. Key:61414
The system shall generate alerts when the value of a metric falls outside limits. Key: 61189
The system shall define, implement, collect, and report using a set of business process-related performance metrics that conform to MITA defined performance metrics such as tracking changes in programs and policies and evaluating corresponding changes in health outcomes. Key 61188
System Accuracy
The system shall accurately complete 99.9% of eligibility actions. Key:61415
The system shall accurately complete 99.9% of presumptive eligibility actions. Key:61416

The system shall accurately determine 99.9% of household compositions. Key:61417
The system shall automatically route 99.9% of electronic applications to the correct location and work unit. Key:61418
The system shall accurately update 99.9% of on-line transactions in the electronic case record. Key 61419
The system shall compile, return and display 99.9% of case records accurately Key: 61420
Reporting
The system shall have the data readily available for extraction without impacting system performance data to the Enterprise Data Warehouse at intervals defined by the State. Key: 60732 XRef: TRA037
The system shall allow authorized workers to have direct access to the Enterprise Data Warehouse through the application. Key: 60734 XRef: TRA038
The system data shall be 99.0% available for reporting purposes. Key 61421
The system shall provide a comprehensive reporting solution that will generate standard operating, pre-defined or operational reports without an adverse effect on system performance or response time. Key: 59804 XRef: CAS120
The system shall generate standardized reports without affecting worker response times. Key: 59747 XRef: REP13
The system shall have the data readily available for extraction, without impacting system performance data, to the Enterprise Data Warehouse at intervals defined by the State. Key: 60732 XRef: TRA037
The system shall identify on all reports the date and time it was generated and allow the worker to save the report. Key: 59812 XRef: CAS112
The system shall allow authorized workers to access, generate, and print reports. Key: 59824 XRef: CAS117
The system shall be able to save reports or raw data in multiple outputs formats (e.g. CSV, tab delimited, text, HTML, XML) in conformance to security standards. Key: 59805 XRef: CAS122
The system shall maintain a history of documents and reports received, track these items and make them accessible in the electronic case file, so that information can be shared across programs and agencies using a HIPAA compliant method. Key: 60125 XRef: IEC008
The system shall provide the capability to generate all required Agency and Federal reports, in the format, media and schedule specified by the Agency. Key: 60428 XRef: CRM75
The system shall have the ability to store 100% of all reports in a specified document repository. Key: 61422
The system shall store all reports in such a manner as to allow online access to and retrieval of report information via a user-friendly parameter and/or menu-driven access to reports. Key: 59737 XRef: REP11
The system shall have the ability to retrieve 100% of all reports within five (5) minutes. Key: 61423
The system shall have the ability to produce 100% of all reports accurately. Key: 61424

APPENDIX O : MANDATORY PROPOSAL REQUIREMENTS

RFP Reference	Criteria to Meet Mandatory Proposal Submission Requirement
4.7	Vendor attended Mandatory Pre-Proposal Conference.
5.2	Proposal was received by the Recipient Subsystem Project Manager no later than the date and time specified in the Procurement Timetable.
5.2.1	Vendor submitted one original and 10 hard-copy versions of the Technical Proposal in binder form, plus four electronic versions on CD, jump drive, or disc.
5.2.1	Vendor submitted one original and one hard-copy versions of the Cost Proposal in binder form, plus two electronic versions on a separate CD.
5.2.1	Original and copies of the proposal are marked as such,
5.2.1	The original proposal includes the transmittal letter with the original signature,
5.2.1	Each proposal is submitted in two parts: 1) Technical Proposal and 2) Cost Proposal.
5.2.1	The Cost Proposal is in a separately sealed envelope.
5.2.2	The Technical Proposal follows the format outlined in section 5.2.2
5.2.2.1	A Cover Page like the RFP example is included.
5.2.2.2	The RFP Proposal Sheet is included, signed in blue ink and notarized, and is the first page of the original proposal. Copies of this page are included in the proposal copies.
5.2.2.3	The transmittal letter is on business letterhead by prime Vendor and signed by authorized individual.

RFP Reference	Criteria to Meet Mandatory Proposal Submission Requirement
5.2.2.3	The transmittal letter includes the following items: ▪ Brief statement of Vendor's understanding of the Scope of Work (SOW) ▪ Identification of all materials and enclosures being submitted collectively as a response to this RFP ▪ Identification of the Vendor who will be the prime Vendor and the name of the corporation or other legal entity submitting the proposal ▪ The name, title, address, and phone number of the point of contact ▪ A statement identifying any and all subcontractors, if any, who are needed in order to satisfy the requirements of this RFP. The percentage of work, as measured by percentage of total contract price to be performed by the prime Vendor, shall be provided. If no subcontractor is proposed, a statement shall be made identifying that fact. ▪ A statement that the prices proposed were arrived at independently without consultation, communication, or agreement with any other Vendor or competitor for this procurement ▪ A statement that the person signing this proposal is authorized to make decisions on behalf of the Vendor's organization as to the prices quoted
5.2.2.3	A Disclosure Statement completed and submitted with the proposal required pursuant to Alabama Act 2001-955, located in Appendix I – Disclosure Statement or on the Attorney General's web site at the following address: http://www.ago.state.al.us/ag_items.cfm?Item=70 If subcontractors are used, a Disclosure Statement for each of them is included.
5.2.2.4	Acknowledgement of Receipt of all RFP addenda (if applicable)
5.2.2.5	Table of Contents identifies and denotes the location of each section and pages are clearly numbered.
5.2.2.6	Executive Summary is included and is no more than two double-sided pages.
5.2.2.7	Company Overview is included and is no more than two double-sided pages.

RFP Reference	Criteria to Meet Mandatory Proposal Submission Requirement
5.2.2.7	Company overview contains the following: ▪ Ownership (public, partnership, subsidiary, etc.) ▪ Organization chart of Vendor's company in relation to parent or related organization ▪ Identification of partnership, non-profit, Alabama corporation, etc. ▪ State where Vendor is incorporated ▪ Number of employees/resources ▪ Organizational staffing chart ▪ Names and resumes of senior managers and partners ▪ Office locations responsible for proposed tasks ▪ Vendor's acknowledgement regarding reimbursement until deliverable and invoice are approved ▪ Details of any judgment, criminal conviction, investigation, or litigation ▪ Disclosure of contracts terminated ▪ Disclosure of conflict of interest ▪ Identification if minority owned ▪ Number of jobs being created in the State of Alabama for this project
5.2.2.8	Use of subcontractors section is included and is no more than two double-sided pages for each subcontractor.
5.2.2.8	Does the Vendor describe how the subcontractor is to be used to meet the requirements of this project?
5.2.2.8	For each subcontractor, the following is provided: ▪ Ownership (public, partnership, subsidiary, etc.) ▪ Organization chart of subcontractor's company in relation to parent or related organization ▪ Identification of partnership, non-profit, Alabama corp, etc. ▪ State where Subcontractor is incorporated ▪ Number of employees/resources ▪ Organizational staffing chart ▪ Names and resumes of senior managers and partners ▪ Office locations responsible for proposed tasks ▪ Subcontractor's acknowledgement regarding reimbursement until deliverable and invoice are approved ▪ Details of any judgment, criminal conviction, investigation, or litigation ▪ Disclosure of contracts terminated ▪ Disclosure of conflict of interest ▪ Identification if minority owned ▪ Number of jobs being created in the State of Alabama for this project
5.2.2.9	Business Experience Matrix is included listing 10 most recent projects performed demonstrating Vendor's abilities to perform requirements. If Subcontractors are to be used on the project, a Business Experience Matrix is completed for each subcontractor.
5.2.2.10	Proposed Business Solution is included and does not exceed 15 double-sided pages.

RFP Reference	Criteria to Meet Mandatory Proposal Submission Requirement
5.2.2.11	System Development Lifecycle Approach and Methodology is included and does not exceed five double-sided pages.
5.2.2.12	Project Management Approach is included and does not exceed three double-sided pages.
5.2.2.13	Vendor included required deliverable Project Plan V1 and it does not exceed 10 double-sided pages (not including Gantt chart).
5.2.2.14	Vendor responded to 2.6.1 Work Activities, Tasks and Deliverables, Activity 1: Project Planning requirements.
5.2.2.14	Vendor responded to 2.6.2 Work Activities, Tasks and Deliverables, Activity 2: Project Assessment and Control
5.2.2.14	Vendor responded to 2.6.3 Work Activities, Tasks and Deliverables, Activity 3: Decision Management.
5.2.2.14	Vendor responded to 2.6.4 Work Activities, Tasks and Deliverables, Activity 4: Risk Management
5.2.2.14	Vendor responded to 2.6.5 Work Activities, Tasks and Deliverables, Activity 5: Configuration Management.
5.2.2.14	Vendor responded to 2.6.6 Work Activities, Tasks and Deliverables, Activity 6: Requirements Analysis and Management
5.2.2.14	Vendor responded to 2.6.7 Work Activities, Tasks and Deliverables, Activity 7: Conceptual Architectural Design
5.2.2.14	Vendor responded to 2.6.8 Work Activities, Tasks and Deliverables, Activity 8: Detail Design.
5.2.2.14	Vendor responded to 2.6.9 Work Activities, Tasks and Deliverables, Activity 9: Security
5.2.2.14	Vendor responded to 2.6.10 Work Activities, Tasks and Deliverables, Activity 10: Continuity of Operations
5.2.2.14	Vendor responded to 2.6.11 Work Activities, Tasks and Deliverables, Activity 11: Training and Knowledge Management
5.2.2.14	Vendor responded to 2.6.12 Work Activities, Tasks and Deliverables, Activity 12: Organization Change Management
5.2.2.14	Vendor responded to 2.6.13 Work Activities, Tasks and Deliverables, Activity 13: Data Conversion
5.2.2.14	Vendor responded to 2.6.14 Work Activities, Tasks and Deliverables, Activity 14: Development
5.2.2.14	Vendor responded to 2.6.15 Work Activities, Tasks and Deliverables, Activity 15: System Integration
5.2.2.14	Vendor responded to 2.6.16 Work Activities, Tasks and Deliverables, Activity 16: System Implementation
5.2.2.14	Vendor responded to 2.6.17 Work Activities, Tasks and Deliverables, Activity 17: Testing
5.2.2.14	Vendor responded to 2.6.18 Work Activities, Tasks and Deliverables, Activity 18: Quality Assurance
5.2.2.14	Vendor responded to 2.6.19 Work Activities, Tasks and Deliverables, Activity 19: Software Verification
5.2.2.14	Vendor responded to 2.6.20 Work Activities, Tasks and Deliverables, Activity 20: Software Validation
5.2.2.14	Vendor responded to 2.6.21 Work Activities, Tasks and Deliverables, Activity 21: Software Reviews

RFP Reference	Criteria to Meet Mandatory Proposal Submission Requirement
5.2.2.14	Vendor responded to 2.6.22 Work Activities, Tasks and Deliverables, Activity 22: Software Problem Resolution
5.2.2.14	Vendor responded to 2.6.23 Work Activities, Tasks and Deliverables, Activity 23: User Acceptance Testing.
5.2.2.14	Vendor responded to 2.6.24 Work Activities, Tasks and Deliverables, Activity 24: Software Implementation
5.2.2.14	Vendor responded to 2.6.25 Work Activities, Tasks and Deliverables, Activity 25: Transition and Maintenance.
5.2.2.14	Vendor responded to 2.6.26 Work Activities, Tasks and Deliverables, Activity 26: Document Management
5.2.2.14	Vendor responded to 2.6.27 Work Activities, Tasks and Deliverables, Activity 27: Operations
5.2.2.14	Vendor responded to 2.6.28 Work Activities, Tasks and Deliverables, Activity 28: Federal Review.
5.2.2.14	The Integration and Implementation Services Section does not exceed 40 double-sided pages.
5.2.2.15	Stabilization and Operations Services section is included and does not exceed five double-sided pages.
5.2.2.16	Proposed Staffing section is included and does not exceed 15 double-sided pages.
5.2.2.16	Proposed Staffing section includes acknowledgement that the Vendor understands its obligation to establish an offsite office.
5.2.2.17	Relevant Technical Experience Section is included and does not exceed five double-sided pages.
5.2.2.18	Agency Responsibilities section is included and does not exceed two double-sided pages.
5.2.2.19	Vendor Assumptions section is included and does not exceed two double-sided pages.
5.2.2.20	Lessons Learned section is included and does not exceed two double-sided pages.
5.2.2.21	Financial Status section is included.
5.2.2.22	Certificate of Authority or letter showing application is included.
5.2.2.23	Requirements Response Matrix section is included.
5.2.3	Cost Proposal follows the format indicated in 5.2.3.
5.2.3.1	Cost Proposal cover page formatted as indicated in 5.2.3.1.
5.2.3.3	Cost Proposal includes Table of Contents.
5.2.3.4	Cost Proposal includes Executive Summary.
5.2.3.5.1	Price Schedule I – Labor is included.
5.2.3.5.2	Price Schedule II – Deliverables is included.
5.2.3.5.3	Price Schedule III – Hardware and Software is included.
5.2.3.5.4	Price Schedule IV– Software Licenses is included.
5.2.3.5.5	Price Schedule V – Software Maintenance Support is included.
5.2.3.5.6	Price Schedule VI – Stabilization and ongoing Maintenance is included.
5.2.3.5.7	Price Schedule VII – Other Implementation Costs is included.
5.2.3.5.8	Price Schedule VIII – Pricing Sheet Summary is included.
5.2.3.6	Alternative Pricing Option 1 is included and does not exceed five double-sided pages.
5.2.3.7	Alternative Pricing Option 2 is included.