

## ATTACHMENT B

### SCOPE OF SERVICES (October 7, 2019)

- Requirements management;
- Quality management;
- Configuration management;
- Information management;
- Communications management; and
- Requirements for CMS certification.

#### 3. System Delivery Life Cycle Phase Requirements

This section describes system delivery life cycle phase specific Vendor requirements associated with providing system delivery management services under this Contract.

##### a. Initiation Phase Requirements

**Design and Implementation Management Standards** document, located in the [EDW Procurement Library](#), summarizes development phase requirements and standards for concept phase services performed and solutions provided by FX Projects under this Contract.

##### b. Planning Phase Requirements

**Design and Implementation Management Standards** document, located in the [EDW Procurement Library](#), summarizes development phase requirements and standards for planning phase services performed and solutions provided by FX Projects under this Contract.

##### c. Requirements Analysis Phase Requirements

**Design and Implementation Management Standards** document, located in the [EDW Procurement Library](#), summarizes requirements analysis phase requirements and standards for services performed and solutions provided by FX Projects under this Contract.

##### d. Design Phase Requirements

**Design and Implementation Management Standards** document, located in the [EDW Procurement Library](#), summarizes design phase requirements and standards for services performed and solutions provided by FX Projects under this Contract.

##### 1) Data Modeling Requirements

**Table: 23 - Data Modeling Requirements** below, summarizes the Data Modeling requirements for services performed and solutions provided by FX Projects under this Contract.

<b>Table: 23 - Data Modeling Requirements</b>	
Req ID	Requirement
SR-001	The Vendor shall design, develop, implement, maintain, and operate an enterprise Data Model encompassing the business processes, practices and policies of the Agency and which incorporates current industry standard tools and technologies.

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<b>Table: 23 - Data Modeling Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-002	The Vendor shall design, develop, and implement an enterprise Data Model capable of growing and evolving with increased Agency capacity and performance requirements which allows for the implementation of changes of various degrees of complexity based upon Agency needs, Legislative mandates, and other Agency defined modifications.
SR-003	The Vendor shall procure, install, operate, and maintain an enterprise Data Model Management Tool that supports all Data Modeling activities within the solution.
SR-004	The Vendor shall provide a Data Modeling tool that supports data governance, accountability, and enforcement of metadata standards.
SR-005	The Vendor shall conform to data naming standards as defined by National Information Exchange Model (NIEM) and Health Level 7 (HL7). The Vendor shall review all updates to NIEM and HL7 standards, present any updates to the Agency and apply to the Enterprise Data Model any updates approved by the Agency.
SR-006	The Vendor shall provide a Data Modeling tool that supports the design, development, and visualization of Conceptual Data Model structures and schemas.
SR-007	The Vendor shall provide a Data Modeling tool that supports the design, development, and visualization of Logical Data Model structures and schemas. Further, the tool shall support the implementation of Logical Data model schemas from Conceptual Data model structures and schemas.
SR-008	The Vendor shall provide a Data Modeling tool that supports the design, development, and visualization of Physical Data Models. Further, the tool shall support implementation of Physical Data model schemas from Logical schemas.
SR-009	The Vendor shall provide a Data Modeling tool that supports the design, development, and implementation of Conceptual, Logical, and Physical Data Models for all major RDBMS platforms and that supports NoSQL visualization and modeling concepts and practices.
SR-010	The Vendor shall provide a Data Modeling tool with a GUI or Web-based interface for Design, Development, and Maintenance of Conceptual, Logical, and Physical data models.
SR-011	The Vendor shall provide a Data Modeling tool that supports Cross-Database table relationships.
SR-012	The Vendor shall provide a Data Modeling tool that supports the import and export of Entity Relationship Diagrams (ERD) from industry standard Data Modeling tools.
SR-013	The Vendor shall provide a Data Modeling tool that supports multi-dimensional data objects (e.g. data cubes, customized tables, Data Marts, materialized views), derived data and aggregated data (e.g. total claim costs, unique member counts, units of service, benchmarks, baselines).

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Table: 23 - Data Modeling Requirements	
Req ID	Requirement
SR-014	The Vendor shall provide a Data Modeling tool that supports global data model search functionality.

**e. Development Phase Requirements**

**Design and Implementation Management Standards** document, located in the [EDW Procurement Library](#), summarizes development phase requirements and standards for services performed and solutions provided by FX Projects under this Contract.

**f. Testing Phase Requirements**

**Table: 24 - Testing Phase Requirements** below, summarizes the Testing Requirements for services performed and solutions provided by FX Projects under this Contract.

Table: 24 - Testing Phase Requirements	
Req ID	Requirement
SR-015	The Vendor shall develop a Test Plan that includes objectives, scope, testing strategy, testing type, entrance and exit criteria, schedule, testers, and software testing tools to be used for the solution.
SR-016	The Vendor shall coordinate with the FX Project Team, the IS/IP Vendor, and the FX Module Vendors to develop and execute the Test Plan for all defined functionality, connectivity and communications between the solution, the Integration Platform, and the FX modules.
SR-017	<p>a. The Vendor shall provide non-production environments and perform the testing for the following activities: <u>Integration Testing</u>: End-to-end testing performed to expose defects in the interfaces and in the interactions between integrated module components or other systems and validate the system's readiness to meet non-functional requirements.</p> <p>b. <u>System Testing</u>: The process of demonstrating a program, function, or integrated system components meet its requirements and objectives as stated in <b>PD-5: Requirements Document</b>.</p> <p>c. <u>Regression Testing</u>: Testing of a previously tested function following modifications to verify defects have not been introduced or uncovered from changes made. It is performed each time the software or its environment is changed and involves automated testing scripts.</p> <p>d. <u>Performance Testing</u>: Verifies the performance of a system will meet Performance Standards and measures the behavior of the system with increasing load (e.g. number of parallel users and numbers of transactions to determine what load can be handled by the system).</p> <p>e. <u>User Acceptance Testing (UAT)</u>: Testing conducted by the Agency to determine whether a system satisfies the defined user acceptance criteria in an isolated environment.</p>

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<b>Table: 24 - Testing Phase Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-018	The Vendor shall conduct and report to the Agency all component and product testing, completion of testing sequences, and any dynamic analysis employed to verify the execution of testing defined sequences.
SR-019	The Vendor shall coordinate with the Agency in managing the execution of testing including the setup of shared resources, the setup of any testing instrumentation, conducting of all tests, and documentation of all test results and defect tracking.
SR-020	The Vendor shall perform testing and present the results, as prescribed in Test Results for each of the following test levels: Unit Test Results, System Test Results, Integration Test Results, Regression Test Results, Performance Test results, Parallel Test Results, Build Verification Test Results, and User Acceptance Test Results.
SR-021	The Vendor shall map all the test results back to the Requirements Specification Document and Requirements Traceability Matrix (RTM), mapping the use case, test case, test script, and design of the solution.
SR-022	The Vendor shall conduct performance testing of end-to-end business processes within the solution during the initial build, enhancement and after implementation of each new module to meet or exceed performance standards and meet or exceed all Key Performance Indicators.
SR-023	The Vendor shall, in coordination with the FX Project Team, the IS/IP Vendor, and FX Module Vendors, participate, document and present to the Agency performance testing of end-to-end business processes within FX Projects to conform to the performance standards and meet or exceed all Key Performance Indicators.
SR-024	The Vendor shall conduct Performance Testing under simulated user loads consistent with actual loads projected or used in production.
SR-025	The Vendor shall plan and execute testing for all inbound and outbound files to verify accurate and secure data transmission.
SR-026	The Vendor shall plan and coordinate with users, Module Vendors, and external stakeholders in advance to test all inbound and outbound interfaces.
SR-027	The Vendor shall, in coordination with the FX Project Team, the IS/IP Vendor, and FX Module Vendors, test all Data Services.
SR-028	The Vendor shall plan, conduct, document, and present to the Agency Conversion, Migration, Replication and ETL process Testing; verifying accurate and secure data transmission during all Conversion, Migration, Replication, and ETL processes.
SR-029	The Vendor shall provide the Agency with access via SharePoint or other online repository, to the test cases, test results, and defect tracking tools which the Vendor developed or used for testing the solution.
SR-030	The Vendor shall provide sufficient time in the approved Project Schedule for UAT testing. The Vendor shall extend user acceptance testing if the proposed

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Table: 24 - Testing Phase Requirements	
Req ID	Requirement
	testing duration is insufficient for the Agency to validate the module, <b>at no additional cost to the Agency.</b>
SR-031	The Vendor shall establish and maintain User Acceptance Testing (UAT) environments and support UAT testing for the Agency to conduct continuous UAT testing in dedicated environments. As part of Test Plan, responsibilities include assisting the SEAS vendor to develop UAT test cases, providing test data, refreshing test data on an agreed upon schedule with complete data and files, executing processes, and migrating releases or code fixes as requested on an agreed upon schedule.
SR-032	The Vendor shall provide the Agency with access to the test cases, test results, and defect tracking tools which the Vendor developed or used for testing the solution.
SR-033	The Vendor shall participate in and support the User Acceptance Testing (UAT) for updates to the solution (e.g. configuration, development, defects, maintenance, enhancement, and mass adjustment activities and requests) or any independent testing of the solution.
SR-034	The Vendor shall provide training to the Agency and other stakeholders on the solution, process, and tools which shall be used to execute UAT and training on the operation of the technical environment to support user validation.
SR-035	The Vendor shall provide Testing, Performance, and UAT environments that are built to mirror the Production System in configuration for infrastructure, databases, processing, file structures, and reporting.
SR-036	The Vendor shall design, document, and present to the Agency detailed test cases for each sub-phase of testing. The test cases shall include identifications, detailed steps, expected results and actual test results; pass/fail ratio; number of defects identified, and number of defects corrected.
SR-037	The Vendor shall obtain Agency approval of all testing phases and all test results before Testing is considered completed.
SR-038	The Vendor shall track and report all defects during testing and resolve them as agreed.
SR-039	The Vendor shall include automated testing tools which work with the solution and are needed to adequately test the solution.
SR-040	The Vendor shall test message-oriented interactions using integration testing tools (e.g. SoapUI).
SR-041	The Vendor shall provide a process for extracting data from the production environment and importing into non-production environments. The Vendor shall keep the data all Test regions refreshed on a schedule agreed upon with the Agency and whenever enhancements are implemented.
SR-042	The Vendor shall mask any sensitive data from the production environment for use in non-production environments unless the data owner authorizes the use of data in the non-production environment.

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Table: 24 - Testing Phase Requirements	
Req ID	Requirement
SR-043	The Vendor shall execute performance tests of a simulated user load consistent with the actual load projected or used in production.

**g. Implementation Phase Requirements**

The EDW Vendor shall provide Engagement Management activities to engage the project stakeholders for the purposes of coordinating implementation activities.

**Table: 25 - Implementation Phase Requirements** below, summarizes the Implementation Requirements for services performed and solutions provided by FX Projects under this Contract.

Table: 25 - Implementation Phase Requirements	
Req ID	Requirement
SR-044	If requested by the Agency, the Vendor shall utilize Agency IT Change Control Tools and processes for implementation and changes to the solution.
SR-045	The Vendor shall participate in both face-to-face meetings and conference calls with the Agency and relevant parties for purposes of coordinating projects and implementation activities.
SR-046	The Vendor will submit schedules and agendas twenty-four (24) hours prior to the sessions and shall within twenty-four (24) hours of each meeting provide meeting minutes for review by the Agency and all other meeting attendees.
SR-047	The Vendor shall manage interaction and communication with Agency staff, FX Vendors, and subcontractors during the project engagement to support successful implementation of the Scope of Services.
SR-048	The Vendor shall produce and deliver to the Agency the <b>PD-20 Production Readiness Review Checklists</b> which examines the actual characteristics and the procedures of the solution's operation to confirm all hardware, software, resources, procedures, and user documentation accurately reflect the updated production system.
SR-049	The Vendor shall conduct an Operational Readiness Review ( <b>PD-22</b> ) with the Agency to validate the operational readiness of the Vendor and the solution. The Agency will formally sign off on the <b>PD-22 Operational Readiness Review</b> and Stage Gate Review Checklist prior to proceeding to implementation.
SR-050	The Vendor shall provide to the Agency Production Readiness test results demonstrating the solution meets all Performance Standards as defined in this Contract.
SR-051	The Vendor shall perform an implementation process and shall work with the Agency for deploying each proposed solution into production. This would include submitting an implementation plan to the Agency for approval, facilitating an Implementation Plan walkthrough with the stakeholders, deploying the solution,

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<b>Table: 25 - Implementation Phase Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
	and submitting request for the Agency's acceptance of the system implementation.
SR-052	The Vendor shall monitor and correct any deficiencies during the initial operation of the solution to verify there are no immediate or ongoing adverse effects on the Agency's programs according to the performance expectations identified in the Vendor's Contract.
SR-053	The Vendor shall demonstrate and report to the Agency the system infrastructure (hardware, software, and interfaces) is operational and meets Federal and Agency architectural, technical, security, and privacy requirements as well as the documented and approved business and functional requirements.
SR-054	The Vendor shall develop and submit a Post Implementation Report ( <b>PD-21</b> ) which details assessments of the implementation, lessons learned, and monitoring information from the system/application that has been implemented.

**h. Operations and Maintenance Phase Requirements**

**Table: 26 - Operations and Maintenance Phase Requirements** below, summarizes the Operations and Maintenance requirements for services performed and solutions provided by FX Projects under this Contract.

<b>Table: 26 - Operations and Maintenance Phase Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-055	The Vendor, upon system acceptance from the Agency shall provide ongoing Operations and Maintenance support to the project solution throughout the life of this resulting Contract, which includes maintenance and enhancement to the solution. Maintenance activities include correcting defects found based on the requirements, configuration updates, updating the solution to implement policy and coverage changes, best practices or initiatives, scheduled maintenance, testing, and release management.
SR-056	The Vendor shall follow and perform project management and system development processes throughout the life of this Contract as stated in the Project Management Plan deliverable.
SR-057	As part of <b>PD-19 Operations and Maintenance Manual</b> , the Vendor shall provide system and maintenance reports to the Agency to include at a minimum: <ul style="list-style-type: none"> <li>• Maintenance activities for Service changes or System Upgrades;</li> <li>• Activities necessary to correct deficiencies;</li> <li>• Activities necessary to meet performance requirements;</li> <li>• Activities necessary to verify audit logs, programs, and documentation are current;</li> <li>• Changes to scripts or system parameters concerning frequency, number, sorting, and generation of transaction reports;</li> <li>• Additions of new configuration settings, SOA modifications, service modifications;</li> </ul>

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<b>Table: 26 - Operations and Maintenance Phase Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
	<ul style="list-style-type: none"> <li>• Perform critical patch updates to systems due to Operating System level threat vulnerabilities;</li> <li>• Track issues reported and issue resolutions during operations;</li> <li>• New modules or the Agency IT systems which integrate with the project solution; and</li> <li>• Upon receiving Agency approval, upgrade and maintain software of the most recent versions.</li> </ul>
SR-058	The Vendor shall operate and maintain and update the infrastructure of the solution, and provide integration with the IS/IP platform, complying with all Performance Metrics and Federal, State, and Agency regulatory requirements.
SR-059	The Vendor shall provide a notification mechanism whereby all entities identified by the Agency can be notified of system down time and restored availability for scheduled maintenance or unscheduled outages.
SR-060	The Vendor shall minimize system outages by implementing architecture which supports failovers. If needed, the Vendor shall notify the Agency and other stakeholders, in advance of scheduled maintenance or system outages.
SR-061	The Vendor shall monitor the solution for any security breach and shall respond in a timely manner to any issue discovered. Further, the Vendor shall place security controls on the solution as defined in the Security Plan deliverable.
SR-062	The Vendor shall produce, maintain, and update an inventory of all <i>solution-related</i> configuration items, including but not limited to: product type; licensing info; versions; maintenance information; patch fixes; upgrades; and releases. The Vendor shall provide this inventory upon request by the Agency or Agency Designee.
SR-063	The Vendor shall maintain and update a reference material (e.g. manuals, help screens, design specification, system documentation) repository and shall notify the Agency of any and all updates to reference materials. The format of all materials stored in the repository must be preapproved by the Agency.
SR-064	The Vendor shall cooperate with and assist the Agency in responding to any and all law enforcement, Federal, State, and Agency audit or review requests. The Vendor-provided support shall include but not be limited to random sample generation, data extracts, hard-copy documents, and any requested data or information within the timeframe provided by the Agency.
SR-065	The Vendor shall develop a System Operational Procedures Manual with the proposed format for ODS Support Services Operational Procedures Manual, which provide guidelines for the operation and use of ODS Support Services. At minimum, the System Operational Procedures Manual shall contain policies, processes, and workflows related to the Core FX, and Supporting Services and general requirements for compliance with privacy and security.
SR-066	The Vendor shall provide all support and maintenance necessary for continued usability of the solution including Data Stores, Data Services, Data Replication, ETL processes, DR/BCP procedures and all application, session, and presentation layer activities required for the solution meet all Contract requirements.



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<b>Table: 26 - Operations and Maintenance Phase Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-067	The Vendor shall, in coordination with the FX Project Team, develop and implement processes, and procedures whereby all data contained within the solution is accurately and securely archived in a timely manner, and that all Federal, State, and Agency laws and policies are followed.
SR-068	The Vendor shall store all documentation pertaining to the design, development, implementation, operations, and maintenance of the solution on a designated server, SharePoint site or similar document repository as specified by the FX Project Team.

**i. Help Desk / Incident Management**

**Table: 27 - Help Desk / Incident Management Requirements** below, summarizes the Helpdesk requirements for services performed and solutions provided by FX Projects under this Contract.

<b>Table: 27 - Help Desk / Incident Management Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-069	The Vendor shall provide help desk system and services for the solution to record and maintain helpdesk tickets. Alternatively, and at Agency's direction, the Vendor shall use the Agency's help desk solution to record and maintain tickets.

**j. Training Requirements**

**Table: 28 - Training Requirements** below, summarizes the Training Requirements for services performed and solutions provided by FX Projects under this Contract.

<b>Table: 28 - Training Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-070	For the users, project vendors, and Agency staff, (as part of <b>PD-18</b> ) the Vendor shall develop and implement a written and customized Training Plan which includes webinars, web-based modules, and face-to-face training. The Vendor shall coordinate with the Agency's Organizational Change Management team about appropriate tools, templates, and standards to use for the Organizational Change Management work products and artifacts.
SR-071	The <b>Training Plan</b> shall address the training for the solution of this Contract including a schedule for all activities to train team members and provide continuous training as needed for this Contract period.
SR-072	The Agency shall work with the Vendor to identify necessary updates to the approved Training Plan at no additional cost to the Agency. Extensive changes in the training approach shall be through mutual agreement.

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Table: 28 - Training Requirements	
Req ID	Requirement
SR-073	The Vendor shall create and maintain training materials for the required components of this Contract.
SR-074	All training materials, which include manuals, brochures, handouts, agendas, presentations, and web-based or electronic communications, shall be prior approved by the Agency.
SR-075	All training materials shall be reviewed and updated on a quarterly basis to reflect current and updated functionality.

**k. Warranty Requirements**

The EDW Vendor shall warrant the EDW Solution meets the CMS certification requirements, the Contract requirements as defined in this solicitation, the design and development documents, and the system documentation for one (1) year from the beginning of the Operation Phase. The Vendor shall agree to remedy any technical design, configuration, or code defects developed under this Contract, for a period of one (1) year from the day the operations begins **at no additional cost to the Agency**. At the end of the warranty period, the Vendor shall submit a Warranty Completion Report (**PD-23**).

The warranty support shall include testing to isolate problems, problem correction for Critical and High issues as defined in **Attachment B, Exhibit B-1: Deliverables and Performance Standards**, integrated testing of any warranty repair to verify it is complete and appropriate, and regression testing to avoid other problems created by the warranty repair.

The Vendor shall coordinate, install, and test repaired systems with the Agency and update all documentation affected by the change which is approved by the Agency. For critical problems which prevent complete operations of the solution, the Vendor shall provide a workaround for the problem which is preapproved by the Agency.

The Vendor shall provide the Agency the full standard warranty available for any COTS software required for the solution and purchased through or provided by the Vendor. The Vendor, if other than the Original Software Licensor, shall be responsible for paying any original software Licensor maintenance costs sufficient to verify the Agency is properly licensed to use the COTS software for the purpose intended by this Contract and the project functionality for which it was purchased.

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### Disposition Phase Requirements

**Table: 29 - Disposition Phase Requirements** below, summarizes the requirements to decommission systems for services performed and solutions provided by FX Projects under this Contract.

<b>Table: 29 - Disposition Phase Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-076	The Vendor may, if directed, support the Agency in providing or contracting to provide disposition activities of any systems decommissioned during this Contract.
SR-077	The Vendor shall provide materials to support subsequent disposition of solution components.

#### 4. Security Life Cycle

Security related activities have their own life cycle that overlay the system delivery life cycle. The Security Life Cycle includes activities defined in certification and accreditation, risk assessment, and system security plan phases.

**Table: 30 - Security Life Cycle Requirements** below summarizes the Security Life Cycle Requirements for the EDW Project.

<b>Table: 30 - Security Life Cycle Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-078	The Vendor shall coordinate with the FX Project Team, the IS/IP Vendor, and the FX Module Vendors to develop a Systems Security Plan in accordance with the CMS Risk Management Handbook, Chapter 12.
SR-079	The Vendor shall coordinate with the FX Project Team, the IS/IP Vendor, and the FX Module Vendors to conduct a Privacy Impact Assessment.
SR-080	The Vendor shall coordinate with the FX Project Team, the IS/IP Vendor, and the FX Module Vendors to select appropriate baseline controls based on NIST SP 800-53, the standards defined by the Agency and Florida Cybersecurity Standards (FCS).
SR-081	The Vendor shall develop and execute a Security Controls Test Plan that includes objectives, scope, misuse cases, testing type, entrance and exit criteria, schedule, testers, software tools, and test results.
SR-082	The Vendor shall coordinate with the FX Project Team, the IS/IP Vendor, and the FX Module Vendors to develop and execute a Security Test Plan for all shared infrastructure, connectivity, and communications between the solution, the Integration Platform, and the FX modules.

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Table: 30 - Security Life Cycle Requirements	
Req ID	Requirement
SR-083	The Vendor shall conduct quarterly Security Control Assessments to monitor ongoing effectiveness of implemented security controls and remediate those issues as determined by the Agency. Automation may be leveraged wherever possible to reduce effort and support repeatability.
SR-084	The Vendor shall coordinate with the FX Project Team, the IS/IP Vendor, and the FX Module Vendors to develop the Security Authorization Package required for Authorization to Operate approval.
SR-085	The Vendor shall provide a System Security Plan for the solution, which shall be in compliance with all Florida and Federal enterprise information security policies, standards, security initiatives, and regulations.
SR-086	The Vendor shall perform a security vulnerability assessment (using Agency specified scanning tools) on the solution, no less than quarterly and after every Production update release.
SR-087	The Vendor shall provide risk assessments, vulnerability testing, and security audit reports which shall be submitted to the Agency on a monthly basis and when additions or changes to functionality impact the security framework, architecture, or when a new vulnerability exists. The reports shall be delivered to the Agency by the 10 <sup>th</sup> each month.

**5. Certification Life Cycle**

The EDW Vendor is responsible for providing and maintaining a technical solution which supports all applicable requirements (as per the **Combined Certification Checklist** document located in the [EDW Procurement Library](#)), including the most current version of the Medicaid Enterprise Certification Life Cycle (MECL), for Federal certification and qualifying for the maximum Federal Financial Participation (FFP) from Day 1 of the Operations Phase. During the certification process, the Vendor shall make any changes required by the Federal government for certification expediently and without additional charge to the Agency.

**Table: 31 - Federal Certification Requirements** below, summarizes certification requirements for the Vendor in support of other FX module projects and in the role of a Module Vendor for the EDW Solution and services. The Module Vendors are responsible for the certification of the module/components within their Contract. The Vendor shall be responsible for providing and maintaining a technical solution which meets all applicable checklist items in the most current version of the Medicaid Enterprise Certification Toolkit (MECT) providing evidence and artifacts to document checklist compliance and support the review and validation of those items by the FX Project Team, IV&V Vendor, and CMS.

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<b>Table: 31 - Federal Certification Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-088	The Vendor shall participate and provide support as needed to the Module Vendors for module certification activities including participating in planning activities, meetings, and other activities as required by CMS.
SR-089	The Vendor shall assist the Agency in preparing and providing certification artifacts, evidence and presentation materials.
SR-090	The Vendor, based on the certification findings, shall provide all the required remediation activities on a schedule to be approved by CMS and the Agency.
SR-091	The Vendor shall update the documentation as necessary to support the certification process and to reflect changes which have been made to the solution during the certification process.
SR-092	The Vendor shall support the IV&V quarterly certification report to CMS by providing the IV&V Vendor access to documents and artifacts necessary for tracking certification.
SR-093	The Vendor shall provide applicable documentation of requirements as included in the Certification process for each applicable FX Project.
SR-094	The Vendor shall provide a Certification Lead who will coordinate with the Agency, SEAS and IV&V Certification counterparts on all activities related to Certification including understanding the Medicaid Enterprise Certification Management Plan.
SR-095	The Vendor shall support the MECL process for all components which are certified, as described in the current version of the MECT.
SR-096	The Vendor shall adhere to Medicaid Enterprise Certification Management Plan.

**a. Enhanced Funding Requirement - CMS Standards and Conditions**

1) Federal Citations

The EDW Vendor shall comply with 42 CFR 433.112 (b)(5) and (6) and 45 CFR 95.617(a) and (b), including the CMS Standards and Conditions as well as any amendments from CMS. The Agency will have all ownership rights in software or modifications thereof and associated documentation designed, developed, or installed with Federal financial participation; and The United States Department of Health and Human Services (US DHHS) will have a royalty free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use and authorize others to use, for Federal Government purposes, software, modifications to software, and documentation that is designed, developed, installed, or enhanced with Federal financial participation.

To maximize Federal Financial Participation (FFP), this Project and its Scope of Services is aligned with the CMS Standards and Conditions for Enhanced Funding in accordance with 42 CFR 433.112.

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For additional information see: 42 CFR 433.112 - FFP for design, development, installation or enhancement of mechanized processing and information retrieval systems.

2) State Ownership

The Agency shall have unlimited rights to use, disclose, or duplicate, for any purpose whatsoever, all information and data developed, derived, documented, or furnished by the Vendor as a result of this Contract.

Title to the complete system will be transferred to the Agency, including portions (e.g. documentation) as they are created during all phases of this Contract, including any and all performance-enhancing software and operational plans whether developed or obtained by this Contract or before it. This obligation to transfer all ownership rights and/or license on the part of the Vendor is not subject to limitation in any respect whether by characterization of any part of the system as proprietary or by failure to claim for the cost thereof.

The Vendor shall not develop or install any proprietary software for operation of the EDW Solution without prior written approval from the Agency. Installation of any commercial packages must also be prior approved in writing by the Agency. The Agency may allow the development and installation of proprietary software if considered in the best interest of the Agency and if the Vendor is willing to provide the Agency the rights and/or license to operate and maintain the software in question, after the termination of this Contract. No proprietary software/systems may be implemented, using Agency data, without prior written approval from the Agency.

**b. MECT Module Checklist Requirements**

The EDW Vendor shall be responsible for providing and maintaining a technical solution to store and manage data for the enterprise. The Vendor is required to provide data analytics and reporting solution for the requirements stated under this section. The EDW solution is to provide access to the data to the FX modules to enable them to meet the MECT requirements. The EDW Vendor shall be responsible providing evidence and artifacts to document checklist compliance and support the review and validation of those items by the FX Project Team, IV&V Vendor, and CMS.

1) Decision Support System Requirements

**Table: 32 - MECT Decision Support System Requirements** below, summarizes the MECT MMIS - Decision Support System Requirements for the EDW Solution.

<b>Table: 32 - MECT Decision Support System Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-097	The Vendor's solution shall provide information to assist management in fiscal planning and control.

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<b>Table: 32 - MECT Decision Support System Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-098	The Vendor's solution shall provide counts of services based on meaningful units such as but not limited to: <ul style="list-style-type: none"> <li>• service category (e.g. Days, visits, units, prescriptions);</li> <li>• unduplicated claims;</li> <li>• unduplicated members; and</li> <li>• unduplicated providers.</li> </ul>
SR-099	The Vendor's solution shall support online real-time summary information such as, but not limited to, number and type of providers, members and services.
SR-100	The Vendor's solution shall track claims processing financial activities and provides reports on status of payments.
SR-101	The Vendor's solution shall produce unduplicated counts within a type of service and in total by month.
SR-102	The Vendor's solution shall report the utilization and cost of services against benefit limitations.
SR-103	The Vendor's solution shall assist in determining reimbursement methodologies by providing expenditure data through service codes including: <ul style="list-style-type: none"> <li>• healthcare common procedure coding system (HCPCS), current version;</li> <li>• international classification of diseases (ICD), clinical modifier, current version; and</li> <li>• National drug code (NDC), current version.</li> </ul>
SR-104	The Vendor's solution shall produce an annual hospice report showing a comparison of hospice days versus inpatient days for each enrolled hospice member and for all hospice providers.
SR-105	The Vendor's solution shall analyze break-even point between Medicare and Medicaid payments.
SR-106	The Vendor's solution shall analyze cost-effectiveness of managed care programs versus fee-for-service.
SR-107	The Vendor's solution shall track the impact of Medicare drug program.
SR-108	The Vendor's solution shall provide information required in the review and development of medical assistance policy and regulations.
SR-109	The Vendor's solution shall report on any change from baseline for any program or policy change.
SR-110	The Vendor's solution shall prepare information to support the preparation of budget allocations for the fiscal year.
SR-111	The Vendor's solution shall support the projection of the cost of program services for future periods.
SR-112	The Vendor's solution shall compare current cost with previous period cost to establish a frame of reference for analyzing current cash flow.
SR-113	The Vendor's solution shall compare actual expenditures with budget to determine and support control of current and projected financial position.

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<b>Table: 32 - MECT Decision Support System Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-114	The Vendor's solution shall analyze various areas of expenditure to determine areas of greatest cost.
SR-115	The Vendor's solution shall provide data necessary to set and monitor rate-based reimbursement (e.g. institutional per diems and Health Plan capitation).
SR-116	The Vendor's solution shall maintain provider, recipient, claims processing, and other data to support Agency management reports and analyses.
SR-117	The Vendor shall provide a defined and documented process for ensuring MMIS system changes and SS-A to-be maturity are aligned to an approved State plan.
SR-118	The Vendor's solution shall maintain data sets for T-MSIS reporting as required.
SR-119	The Vendor's solution shall merge into T-MSIS data from outside sources if required: <ul style="list-style-type: none"> <li>• Capitation payment records from enrollment process;</li> <li>• Eligibility characteristic data from eligibility intake process;</li> <li>• Medicaid services processed by non-MMIS State departments, such as mental health services; and</li> <li>• Utilization based on Health Plan encounters.</li> </ul>
SR-120	SMA provides and The Vendor's solution shall maintain T-MSIS data for the following adjudicated claims: <ul style="list-style-type: none"> <li>• Inpatient hospital;</li> <li>• Long term institutional care;</li> <li>• Prescription drugs; and</li> <li>• Other, not included in the above categories.</li> </ul>
SR-121	The Vendor's solution shall provide and maintain encounter data in appropriate claim(s) file.
SR-122	The Vendor's solution shall meet T-MSIS reporting timelines
SR-123	The Vendor's solution shall support Payment Error Rate Measurement (PERM) processing in compliance with CMS quarterly claims sample frequency requirements as directed by the Agency.
SR-124	The Vendor's solution shall produce the CMS-416 report in accordance with CMS requirements. The report shall include: <ul style="list-style-type: none"> <li>• The number of children provided child health screening services,</li> <li>• The number of children referred for corrective treatment,</li> <li>• The number of children receiving dental services, and</li> <li>• The State's results in attaining goals set for the State under section 1905(r) of the Act provided according to a State's screening periodicity schedule.</li> </ul>
SR-125	The Vendor's solution shall produce the CMS-372 and CMS-372S Annual reports on Home and Community Based Waiver Reports, for any HCBS Waivers that exist in accordance with CMS requirements.
SR-126	The Vendor shall support Medicaid Agency's compliance with the information reporting requirements of section 6041 of the Internal Revenue Code (26 U.S.C. 6041). Section 6041 requires the filing of annual information returns showing



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<b>Table: 32 - MECT Decision Support System Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
	amounts paid to providers, who are identified by name, address, and social security number, or employer identification number.
SR-127	The Vendor's solution shall provide data to support the production of CMS-37 and CMS-64 quarterly estimates and expenditure reports.
SR-128	The Vendor's solution shall provide a full audit trail, as defined by the Agency, to support all transactions (data and information) used to support Medicaid Integrity Audits and generate Federal reports.
SR-129	The Vendor's solution shall review errors in claim and payment processing to determine areas for increased claims processing training and provider billing training.
SR-130	The Vendor's solution shall automatically alert administration when significant change occurs in daily, weekly, or other period payments.
SR-131	The Vendor's solution shall provide claims processing and payment information by service category or provider type to analyze timely processing of provider claims according to requirements (standards) in 42 CFR 447.45.
SR-132	The Vendor's solution shall monitor third party avoidance and collections per State plan.
SR-133	The Vendor's solution shall retain all information necessary to support State and Federal initiative reporting requirements.
SR-134	The Vendor's solution shall provide access to information such as, but not limited to, paid amounts, outstanding amounts, and adjustment amounts to be used for an analysis of timely reimbursement.
SR-135	The Vendor's solution shall display information on claims at any status or location such as, but not limited to, claims backlog, key entry backlog, pend file status, and other performance items.
SR-136	The Vendor's solution shall identify payments by type such as, but not limited to, abortions and sterilizations.
SR-137	The Vendor's solution shall develop third party payment profiles to determine where program cost reductions might be achieved.
SR-138	The Vendor's solution shall maintain information on per diem rates, diagnosis related groups (DRG), resource utilization groups (RUG), and other prospective payment methodologies according to the State plan and monitors accumulated liability for deficit payments.
SR-139	The Vendor shall align development efforts to support Agency goals and objectives (managing long term care costs, acute care, etc.)
SR-140	The Vendor's solution shall review provider performance to determine the adequacy and extent of participation and service delivery.
SR-141	The Vendor's solution shall review provider participation and analyzes provider service capacity in terms of member access to health care.

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<b>Table: 32 - MECT Decision Support System Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-142	The Vendor's solution shall analyze timing of claims filing by providers to provide fiscal controls and statistical data.
SR-143	The Vendor's solution shall provide access to information for each provider on payments to monitor trends in accounts payable such as, but not limited to, showing increases/decreases and cumulative year-to-date figures after each claims processing cycle.
SR-144	The Vendor's solution shall produce information on liens and providers with credit balances.
SR-145	The Vendor's solution shall produce provider participation analyses and summaries by different select criteria such as, but not limited to: <ul style="list-style-type: none"> <li>• payments;</li> <li>• services;</li> <li>• types of services; and</li> <li>• member eligibility categories.</li> </ul>
SR-146	The Vendor's solution shall provide information to assist auditors in reviewing provider costs and establishing a basis for cost settlements.
SR-147	The Vendor's solution shall monitor individual provider payments.
SR-148	The Vendor's solution shall review the utilization of services by various member categories to determine the extent of participation and related cost.
SR-149	The Vendor's solution shall report on dual eligibles pre and post Medicare part D implementation.
SR-150	The Vendor's solution shall analyze progress in accreting eligible Medicare buy-in members.
SR-151	The Vendor's solution shall support analyses of data on individual drug usage.
SR-152	The Vendor's solution shall present geographic analysis of expenditures and member participation.
SR-153	The Vendor's solution shall provide member data (including long term care (LTC), Early Periodic Screening, Diagnosis and Treatment (EPSDT), and insurance information) for designated time periods.
SR-154	The Vendor's solution shall summarize expenditures, based on type of Federal expenditure and the eligibility and program of the member.
SR-155	The Vendor's solution shall provide eligibility and member counts and trends by selected data elements such as, but not limited to, aid category, type of service, age and county.
SR-156	The Vendor's solution shall provide member enrollment and participation analysis and summary, showing utilization rates, payments, and number of members by eligibility category.
SR-157	The Vendor's solution shall support report balancing and verification procedures.

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<b>Table: 32 - MECT Decision Support System Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-158	The Vendor's solution shall maintain comprehensive list of standard program management (PM) reports and their intended use (business area supported).
SR-159	The Vendor's solution shall maintain a list of users of each standard program management report.
SR-160	The Vendor's solution shall meet Agency-defined time frames and priorities for processing user requests.
SR-161	The Vendor's solution shall maintain records necessary for proper and efficient operation of the State plan including statistical, fiscal, and others necessary for reporting and accountability as required by the Secretary of HHS.
SR-162	The Vendor's solution shall support updates and maintenance of financial transactions in enough detail to support current and prior year 1099s, W-2 and FICA reporting requirements, for personal service care providers and providers of services under self-directed care initiatives.
SR-163	The Vendor's solution shall support the Agency's accounting for recovery payment adjustments received from third parties that do not affect the provider's 1099/W2.
SR-164	The Vendor's solution shall provide a full audit trail to the source of general ledger transactions (e.g. provider credit and adjustment transactions) generated by the MMIS or other supporting financial packages.
SR-165	Vendor shall support the Agency's maintenance of history of claim recovery payments more than expenditures and for distribution to the appropriate parties, including providers, Members, or insurers.
SR-166	The Vendor's solution shall maintain a history of refunds.
SR-167	The Vendor's solution shall support the tracking of Medicare deductibles and coinsurance paid by Medicaid for all crossover claims, by Member and program type.
SR-168	The Vendor's solution shall provide on-line access to accounts receivable and provider credit balances to authorized individuals.
SR-169	The Vendor's solution shall provide support for identification and application of recovery funds and lump-sum payments.
SR-170	The Vendor's solution shall support auditing of incentive payments.
SR-171	The Vendor shall support the Agency's monitoring and tracking of payment for all current incentive programs.
SR-172	The Vendor shall retain all records for the periods required by the Secretary of HHS.

2) Program Integrity Requirements

**Table: 33 - MECT Program Integrity Checklist Requirements**  
below summarizes the MECT MMIS - Program Integrity Requirements for the EDW Solution.

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<b>Table: 33 - MECT Program Integrity Checklist Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-173	The Vendor's system shall identify Member services received for those enrolled in selected programs.
SR-174	The Vendor's solution shall provide the ability to suspend all Medicaid payments to a provider after determining that there is a credible allegation of fraud for which an investigation is pending under the Medicaid program against an individual or entity.
SR-175	The Vendor's solution shall provide the ability to safeguard against unnecessary or inappropriate use of Medicaid services and against excess payments.
SR-176	The Vendor's system shall profile primary care case managers, including all referrals and other services received by their enrollees.
SR-177	The Vendor's system shall perform analysis of rendering, ordering, and billing practices to generate reports of aberrant utilization and/or billing patterns.
SR-178	The Vendor's system shall apply clinically approved guidelines against episodes of care to identify instances of treatment inconsistent with guidelines.
SR-179	The Vendor's system shall generate early warning reports of high cost services and service misutilization based on current payment data to quickly identify high volume practices.
SR-180	The Vendor's system shall automatically identify exceptions to norms of utilization or quality of care standards established by the Agency for any type of Member covered by the State plan.
SR-181	The Vendor's system shall track Federally-assisted program participants separately from other categories of assistance.
SR-182	The Vendor's system shall identify Members who exceed program norms, ranked in order of severity.
SR-183	The Vendor's system shall identify services received by Members who have specified diagnoses.
SR-184	The Vendor's system shall profile all services provided to a Member during a single episode of care.
SR-185	The Vendor's solution shall provide the ability to monitor the statewide utilization control program and assess the quality of services provided.
SR-186	The system shall provide a methodology and generates a report to classify treatment modalities into peer group categories, by diagnosis, or range of diagnosis codes.
SR-187	The system shall have the capability to generate reports of individual Members by peer group.
SR-188	The system shall produce comprehensive statistical profiles of provider health care practices by peer groups for all categories of service(s) authorized under the Medicaid program.

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<b>Table: 33 - MECT Program Integrity Checklist Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-189	The Vendor's solution shall provide the ability for the Agency to use predetermined standards to monitor the following (as per 42 CFR): (1) Therapeutic appropriateness, that is, drug prescribing and dispensing that is in conformity with the predetermined standards; (2) Overutilization and underutilization, as defined in § 456.702; (3) Appropriate use of generic products, that is, use of such products in conformity with State product selection laws; (4) Therapeutic duplication as described in § 456.705(b)(1); (5) Drug-disease contraindication as described in § 456.705(b)(2); (6) Drug-drug interaction as described in § 456.705(b)(3); (7) Incorrect drug dosage as described in § 456.705(b)(4); (8) Incorrect duration of drug treatment as described in § 456.705(b)(5); and (9) Clinical abuse or misuse as described in § 456.705(b)(7).
SR-190	The Vendor's solution shall automatically identify deficiencies and generate reports on levels of care and quality of care by provider type.
SR-191	The Vendor's solution shall automatically report on the details of the practice of providers identified as exceptions or outliers.
SR-192	The Vendor's solution shall provide the capability to profile provider groups and individual providers within group practices.
SR-193	The Vendor's solution shall automatically identify exceptions to norms of practice established by the Agency for any type of provider covered by the State plan.
SR-194	The Vendor's solution shall display all data by National Provider Identifier (NPI) or by a subset of the provider's practice.
SR-195	The Vendor's solution shall report to the State's Medicaid Fraud Control Unit all cases of suspected provider fraud.
SR-196	The Vendor's solution shall provide access to all data elements outlined in the State Medicaid Manual (SMM) Part 11, section 11335 and all additional data required for appropriate analysis of the program.
SR-197	The Vendor tests criteria and develops algorithms for expected outcomes prior to production of reports.
SR-198	The Vendor's solution shall facilitate export of claims-based class groupings such that data can be used by spreadsheet or database software.
SR-199	The Vendor's solution shall support fraud and abuse investigations.
SR-200	The Vendor's solution shall support pattern recognition and provide an automated fraud and abuse profiling system for the ongoing monitoring of provider and Member claims to detect patterns of potential fraud, abuse and excessive billing.
SR-201	The Vendor's solution shall provide and store all utilization reports in the medium designated by the Agency.
SR-202	The Vendor's solution shall provide the flexibility to vary time periods for reporting purposes and to produce reports on daily, monthly, quarterly basis, or other frequency specified by the Agency.

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<b>Table: 33 - MECT Program Integrity Checklist Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-203	The Vendor's solution shall maintain a process to apply weighting and ranking of exception report items to facilitate identifying the highest deviators.
SR-204	The Vendor shall provide for development and implementation of technical and user training programs.
SR-205	The Vendor's solution shall support fraud investigations by complying with request for access to, and free copies of, any records or information kept by the Agency or its contractors.
SR-206	The Vendor's solution shall use a minimum level of manual clerical effort in providing information that reveals potential defects in level of care and quality of service.
SR-207	The Vendor's solution shall provide ability to perform analyses and produce reports responsive to requests from Title XIX managers, quality improvement organizations (QIO), and State Medicaid fraud control units by means of computerized exception processing techniques.
SR-208	The Vendor's solution shall provide necessary data to support fraud investigations from requests for access to any information kept by providers to which the Agency is authorized access by section 1902(a)(27) of the Social Security Act and § 431.107 of this subchapter.
SR-209	The Vendor's solution shall select claims and encounter data dating back to the appropriate period for the specific research.
SR-210	The Vendor's solution shall support the capability to produce claim and encounter detail and special reports by provider-type and Member classification (e.g. category of service (COS)) and other key variables (e.g. Group Practice, Case).
SR-211	The Vendor's solution shall perform focused review and to generate reports of all reviews undertaken.
SR-212	The Vendor's solution shall suppress processing on an individual within specified categories on a run-to-run basis.
SR-213	The Vendor's solution shall support a retrospective Drug Use Review (DUR) program for ongoing periodic examination (no less frequently than quarterly) of claims data and other records to identify patterns of fraud, abuse, gross overuse, or inappropriate or medically unnecessary care among physicians, pharmacists, and Medicaid beneficiaries, or associated with specific drugs or groups of drugs.
SR-214	The Vendor's solution shall support a post-payment review process for Agency personnel to develop and review: <ul style="list-style-type: none"> <li>(1) Beneficiary utilization profiles;</li> <li>(2) Provider service profiles;</li> <li>(3) Exceptions criteria; and</li> <li>(4) Identifies exceptions so that the Agency can correct misutilization practices of beneficiaries and providers.</li> </ul>
SR-215	The Vendor's solution shall investigate and reveal misutilization of the State's Medicaid program services by individual participants and promotes corrective action.

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<b>Table: 33 - MECT Program Integrity Checklist Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-216	The Vendor's solution shall develop provider, physician, and patient profiles sufficient to provide specific information as to the use of covered types of services and items, including prescribed drugs.

**c. MECT Core Checklist Requirements**

The EDW Vendor shall be responsible for providing and maintaining a technical solution which meets all applicable checklist items in the most current version of the Medicaid Enterprise Certification Toolkit (MECT) providing evidence and artifacts to document checklist compliance and support the review and validation of those items by the FX Project Team, IV&V Vendor, and CMS.

1) Access and Delivery Requirements

**Table: 34 - MECT Access and Delivery Requirements** below, summarizes the MECT Core - Access and Delivery Requirements for the EDW Solution.

<b>Table: 34 - MECT Access and Delivery Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-217	The Vendor's solution shall collect, and store data needed to produce reports consistent with data collection plan to assess quality and appropriateness of care furnished to participants of the waiver program.
SR-218	The Vendor's solution shall support a range of analysis actions. (These include benefit modeling, utilization management, provider-member-health plan profiling, program planning, forecasting, program assessment, provider or contractor performance, quality assurance, fraud detection, comparison of fee-for-service and encounter transactions, statistical analysis, comparative analysis, financial trends, case-mix adjustments.
SR-219	The Vendor's solution shall collect and summarize data for specific user communities (e.g. data marts or cubes) such as Program Analysis staff, research group, Financial Management Unit, Agency executives (e.g. dashboard).
SR-220	The Vendor's solution shall provide reports that for users to drill down from summarized data to detailed data.
SR-221	The Vendor's solution's business intelligence information shall be consistent and reliable with full automation.
SR-222	The Vendor's solution shall limit access to an authorized group of stakeholders.
SR-223	The Vendor's solution user interface or associated interfaces provides text titles for frames to facilitate frame identification and navigation.
SR-224	The Vendor's solution shall conform to usability and design standards set by the State; this includes aesthetics, consistency in the user interface, and visual quality of the interfaces.

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<b>Table: 34 - MECT Access and Delivery Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-225	The Vendor's solution shall fully comply with section 508 accessibility.
SR-226	The Vendor's solution shall be browser agnostic.
SR-227	The Vendor's solution shall support retrieval and presentation of data associated with geographic indicators such as State, county, and zip code.
SR-228	The Vendor's solution shall support Federal reporting requirements (RP.006) when these requirements are met through the decision support services (DSS).
SR-229	The Vendor's solution shall support at a minimum the following formats and output options: Word; Excel; HTML; Access database; and Graphical User Interface (GUI).
SR-230	The Vendor's solution shall support simple queries and pre-formatted reports that are easy to access, follow a user-friendly protocol, and produce responses immediately.
SR-231	The Vendor's solution shall provide ad-hoc reporting capability that presents summarized information on key factors (e.g. number of enrollees, total dollars paid) to executive staff upon request.
SR-232	The Vendor's solution shall provide ad hoc query capability for retrieval of data relevant to specific operational units (e.g. claims resolution, prior authorization, and medical necessity review).
SR-233	The Vendor's solution transactions shall execute in a time in accordance with the performance standards (Attachment B, Scope of Services, Exhibit B-1, Deliverables and Performance Standards).
SR-234	The Vendor's solution shall collect information in predefined formats.
SR-235	The Vendor's solution shall provide the ability to record and monitor the performance and utilization of resources within the overall system.
SR-236	The Vendor's solution shall generate performance measures for specific business processes using predefined and ad-hoc reporting methods.
SR-237	The Vendor's solution shall protect electronic protected health information (ePHI) from improper alteration or destruction including authentication mechanisms and to corroborate that ePHI has not been altered or destroyed in an unauthorized manner.
SR-238	The Vendor's solution shall verify that a person or entity seeking access to ePHI has proper access authority.
SR-239	The Vendor's solution shall follow regulations govern the safeguard of information about applicants and beneficiaries. The following is the minimal set of information that shall be safeguarded: (1) Names and addresses; (2) Medical services provided; (3) Social and economic conditions or circumstances; (4) Agency evaluation of personal information; (5) Medical data, including diagnosis and past history of disease or disability;



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<b>Table: 34 - MECT Access and Delivery Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
	(6) Information received for verifying income eligibility and amount of medical assistance payments; (7) Income information received from Social Security Administration (SSA) or the Internal Revenue Service (IRS) shall be safeguarded according to the requirements of the agency that furnished the data; and (8) Information received in connection with the identification of legally liable third-party resources.
SR-240	The Vendor's solution shall comply with provisions for Administrative Simplification under the HIPAA of 1996 to provide confidentiality, integrity, and availability of ePHI in transit and at rest: <ul style="list-style-type: none"> <li>• Provides safeguards as described in the October 22, 1998 State Medicaid Director letter, Collaborations for Data Sharing between State Medicaid and Health Agencies;</li> <li>• Performs regular audits; and</li> <li>• Supports incident reporting.</li> </ul>
SR-241	The Vendor's solution shall verify identity of all users and deny access to invalid users (e.g. Requires unique sign-on (ID and password); Requires authentication of the receiving entity prior to a system-initiated session, such as transmitting responses to eligibility inquiries).
SR-242	The Vendor's solution shall support data integrity through system controls for software program changes and promotion to production.
SR-243	The Vendor's solution shall enforce password policies for length, character requirements, and updates.
SR-244	The Vendor's solution shall support a user security profile to control user access rights to data categories and system functions.
SR-245	The Vendor's solution shall permit authorized users to set and modify user security access profile.
SR-246	The Vendor's solution shall include procedures for accessing necessary electronic Protected Health Information (ePHI) in the event of an emergency and continue protection of ePHI during emergency operations.
SR-247	The Vendor's solution shall provide the ability to support the following: <ol style="list-style-type: none"> <li>(1) Standard: Security management process - Implement policies and procedures to prevent, detect, contain, and correct security violations.</li> <li>(2) Implementation specifications:               <ol style="list-style-type: none"> <li>(a) Risk analysis - Conduct an accurate and thorough assessment of the potential risks and vulnerabilities to the confidentiality, integrity, and availability of electronic protected health information (ePHI) held by the covered entity;</li> <li>(b) Risk management - Implement security measures sufficient to reduce risks and vulnerabilities to a reasonable and appropriate level to comply with § 164.306(a);</li> <li>(c) Sanction policy - Apply appropriate sanctions against workforce members who fail to comply with the security policies and procedures of the covered entity; and</li> </ol> </li> </ol>

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<b>Table: 34 - MECT Access and Delivery Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
	(d) Information system activity review - Implement procedures to regularly review records of information system activity, such as audit logs, access reports, and security incident tracking reports.
SR-248	The Vendor's solution shall alert appropriate staff authorities of potential violations of privacy safeguards, such as inappropriate access to confidential information.
SR-249	The Vendor's solution shall provide right of access and request for access to individuals to protect PHI in a timely manner and allows it to be included in responses to inquiries and report requests.
SR-250	The Vendor's solution shall contain verification mechanisms that are capable of authenticating authority (as well as identify) for the use or disclosure requested (e.g. Denies general practitioner inquiry for recipient eligibility for mental health services; Permits inquiries on claim status only for claims submitted by the inquiring provider).
SR-251	The Vendor's solution shall support encryption and decryption (or an equivalent alternative protection mechanism) of stored ePHI.
SR-252	The Vendor's solution shall support encryption of ePHI that is being transmitted.
SR-253	The Vendor's solution shall support integrity controls to guarantee that transmitted ePHI is not improperly modified without detection (e.g. provide secure claims transmission).
SR-254	The Vendor's solution shall provide the capability that all system activity can be traced to a specific user or entity.
SR-255	The Vendor's solution shall identify and respond to suspected or known security and privacy incidents; mitigate, to the extent practicable, harmful effects of security and privacy incidents that are known to the covered entity or business associate; and document security incidents and their outcomes (e.g. logon attempts that exceed maximum allowed) using a mix of manual and automated processes.
SR-256	The Vendor's solution shall log system activity and enable analysts to examine system activity in accordance with audit policies and procedures (e.g. error diagnosis, and performance management) adopted by the Medicaid agency.
SR-257	The Vendor's solution shall support procedures for guarding, monitoring, and detecting malicious software (e.g. viruses, worms, malicious code, etc.).
SR-258	The Vendor's solution shall have the capability to provision access to an authorized user or request.
SR-259	The Vendor's solution shall contain indicators that can be set to restrict distribution of ePHI in situations where it would normally be distributed.
SR-260	The Vendor's solution shall track disclosures of ePHI and provide authorized users access to reports on the disclosures.

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<b>Table: 34 - MECT Access and Delivery Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-261	The Vendor's solution shall have the capability to handle request for amendment and timely action of making amendments ePHI about the individual in a designated record set.
SR-262	The Vendor shall develop a Contingency Plan for the Vendor's solution that identifies essential missions and business functions and associated contingency requirements. These requirements include recovery objectives, restoration priorities, contingency roles, responsibilities and addresses maintaining essential business functions despite an information system disruption, compromise, or failure. This plan shall be reviewed and updated on a yearly basis.
SR-263	The Vendor's shall have an alternate storage site identified, including necessary agreements to permit the storage and recovery of system backup information and the resumption of system operations for business functions within the period specified. The Vendor establishes alternate telecommunications services including necessary agreements to permit the resumption of information system operations for essential business functions.
SR-264	The Vendor shall provide for the recovery and reconstitution of the information system to a known state after a disruption, compromise, or failure. Recovery of the information system after a failure or other contingency shall be done in a trusted, secure, and verifiable manner.
SR-265	The Vendor's solution shall have standard Access Control specifications to include: <ul style="list-style-type: none"> <li>(i) Assigning a unique name and/or number for identifying and tracking user identity.</li> <li>(ii) Establishing and implementing as needed emergency access procedures for obtaining necessary electronic protected health information (ePHI) during an emergency.</li> <li>(iii) Implementing electronic procedures that terminate an electronic session after a predetermined time of inactivity.</li> <li>(iv) Implementing a mechanism to encrypt and decrypt electronic protected health information.</li> </ul>
SR-266	The Vendor's solution shall provide for the ability to have roles and responsibilities of individuals separated through assigned information access authorization as necessary to prevent malevolent activity.
SR-267	The Vendor's solution user account access authorization shall follow the concept of least privilege, allowing users access to only the information that is necessary to accomplish assigned tasks in accordance with business functions.
SR-268	The Vendor's solution shall after fifteen (15) minutes of inactivity, initiate a session lock; the session lock shall remain in place until the user reestablishes access using established identification and authentication procedures.
SR-269	The Vendor shall provide the ability to enforce physical access authorizations for all physical access points (including designated entry/exit points) to the facility where the information system resides (excluding those areas within the facility officially designated as publicly accessible).

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<b>Table: 34 - MECT Access and Delivery Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-270	The Vendor shall maintain a current list of personnel with authorized access to the space where required (e.g. review and approval of access list and authorization credentials at least once every one hundred eighty (180) calendar days, removes personnel from the access list that no longer require access).
SR-271	The Vendor shall confirm that physical access to information system distribution and transmission lines is controlled within the facility to prevent unauthorized access.
SR-272	The Vendor's solution shall guard against unauthorized access to electronic protected health information that is being transmitted over an electronic communications network.
SR-273	The Vendor shall guarantee that a short-term uninterruptible power supply shall be employed to facilitate an orderly shutdown of the information system in the event of a primary power source loss.
SR-274	The Vendor shall comply with Agency policies and procedures that govern the receipt and removal of hardware and electronic media that contain electronic protected health information (ePHI).
SR-275	The Vendor's solution shall enforce a sufficient level of authentication / identification against fraudulent transmission and imitative communications deceptions by validating the transmission, message, station or individual.
SR-276	The Vendor's solution shall make sure that sensitive data in transit requiring confidentiality protection are encrypted when traversing entity boundaries. For data in transit where the only concern is the protection of integrity, hashing techniques and message authentication codes are used instead of encryption.
SR-277	The Vendor's solution shall use only FIPS Pub 140-2-approved (or higher) encryption algorithms.
SR-278	The Vendor's solution shall update malicious code protection mechanisms (including signature definitions) whenever new releases are available in accordance with IT system configuration management policy and procedures.
SR-279	The Vendor's solution shall maintain reasonable and appropriate administrative, technical, and physical safeguards for protecting ePHI in accordance with the HIPAA Security Rule on a control by control basis as defined by the NIST Cybersecurity Framework and NIST SP 800-53.
SR-280	The Vendor's solution shall support audit controls for hardware, software, and/or procedural mechanisms that record and examine activity in information systems that contain or use electronic protected health information (ePHI).

2) Information Architecture Requirements

**Table: 35 - MECT Information Architecture Requirements** below, summarizes the MECT Core - Information Architecture Requirements for the EDW Solution.

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<b>Table: 35 - MECT Information Architecture Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-281	The Vendor solution shall support the implementation of a CDM that depicts the business area high-level data and general relationships for intrastate exchange.
SR-282	The Vendor's solution shall identify relationships between key entities in the Medicaid enterprise.
SR-283	The Vendor solution shall support an intrastate metadata repository where the Agency defines the data entities, attributes, data models, and relationships sufficiently to convey the overall meaning and use of Medicaid data and information.
SR-284	The Vendor solution shall support statewide standard data definitions, data semantics, and harmonization strategies.
SR-285	The Vendor's solution shall update all historical claim data, recipient enrollment, provider enrollment, and other primary reference data on a scheduled basis.
SR-286	The Vendor's solution shall, at a minimum, support transfer of data from MMIS and to other entities (e.g. claims history, recipient enrollment, provider enrollment, and primary reference data information such as diagnosis, procedure, national drug code [NDC], and pricing).
SR-287	The Vendor's solution shall support consumption of data in multiple formats from many sources, such as the Social Security Administration (SSA), vital statistics, health plan encounter data, benefit manager encounter data (e.g. pharmacy, dental, mental health), waiver program data, and census bureau.
SR-288	The Vendor's solution shall require, capture, and maintain the 10-digit national provider identifier (NPI).
SR-289	The Vendor's solution shall accept the national provider identifier (NPI) in all standard electronic transactions mandated under HIPAA.
SR-290	The Vendor's solution shall not allow atypical providers to be assigned numbers that duplicate any number assigned by the National Plan and Provider Enumeration System (NPPES).
SR-291	The Vendor's solution shall support the production of a random sample of data that would be needed for audit purposes (e.g. providers, beneficiaries, claims, etc.) based on the State-established selection criteria.
SR-292	The Vendor's solution shall maintain all HIPAA-required data sets (e.g. ICD-10, NDC), including those defined by the HIPAA implementation guides to support all transactions required under HIPAA administrative simplification rule (e.g. gender, reason code).
SR-293	The Vendor's solution shall support the sending and receiving of electronic claims transactions, containing valid codes, required by 45 CFR Parts 160 and 162, as follows: <ul style="list-style-type: none"> <li>• Retail pharmacy drug claims (NCPDP); and</li> <li>• Dental health care claims (X12N 837D)</li> </ul>
SR-294	The Vendor's solution shall comply with the Agency's standardized structure and vocabulary data for automated electronic intrastate interchanges and interoperability.

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<b>Table: 35 - MECT Information Architecture Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-295	The Vendor's solution shall accept, record, store, and retrieve documents (free-form or in HIPAA attachment format) submitted with or about claim submission activity, and auto-archives or forwards to appropriate operational area for processing.
SR-296	The Vendor's solution shall associate clinical data (e.g. claims attachment) with the claim record.
SR-297	The Vendor's solution shall maintain synchronization of claims and encounter record dates with provider and member record dates (i.e. a claim or encounter is always linked to the provider status and member status segments associated with the date of service).
SR-298	The Vendor's Logical Data Model (LDM) supports identification of data classes, attributes, relationships, standards, and code sets for intrastate exchange.
SR-299	The Vendor's solution shall maintain providers' data (e.g. links from providers to other entities, such as groups, Health Plans, chains, networks, ownerships, and partnerships).
SR-300	The Vendor's solution shall conform to ASC X12 Technical Reports Type 3 (TR3), Version 005010.
SR-301	The Vendor's shall verify and support that all Vendor systems which use numeric data fields are defined and coded as numeric data only.
SR-302	The Vendor's solution shall support the adoption of Council for Affordable Quality Healthcare's CAQH CORE® Phase I, II and III as stipulated in 45 CFR 162 (Operating Rules for HIPAA Transactions).
SR-303	The Vendor's shall verify and support that all Vendor systems which use alphabetic data fields are defined and coded as alphabetic data only.

3) Integration and Utility Requirements

**Table: 36 - MECT Integration and Utility Requirements** below, summarizes the MECT Core - Integration and Utility Requirements for the EDW Solution.

<b>Table: 36 - MECT Integration and Utility Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-304	The Vendor's solution shall use technology-neutral interfaces that localize and minimize impact of new technology or module implementation.
SR-305	The Vendor's solution shall provide online access to four (4) years of selected management reports and online access to five (5) years of annual reports.
SR-306	The Vendor's solution shall conduct information exchange (internally and externally) using MITA Framework, industry standards, and other nationally recognized standards.

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<b>Table: 36 - MECT Integration and Utility Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-307	The Vendor's solution shall develop data models that include mapping of information exchange with external organizations.
SR-308	The Vendor's solution shall apply single source of information methodologies.
SR-309	The Vendor's solution shall allow authorized users to have access to user activity history and other management functions, including log-on approvals/disapprovals and log search and playback.

4) Intermediary and Interfaces Requirements

**Table: 37 - MECT Intermediary and Interfaces Requirements** below, summarizes MECT Core - Intermediary and Interfaces Requirements for the EDW Solution.

<b>Table: 37 - MECT Intermediary and Interfaces Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-310	The Vendor's solution shall use Enterprise Content Management (ECM) services for entry of different forms of information content.
SR-311	The vendor's system shall use a mix of manual and automated business processes.
SR-312	The Vendor's solution shall perform intrusion detection monitoring and route system alerts and alarms when the system detects unusual conditions.
SR-313	The Vendor shall document all interfaces in an Interface Control Document (ICD), along with how those interfaces are maintained.

5) Standards and Conditions Requirements

**Table: 38 - MECT Standards and Conditions Requirements** below, summarizes MECT Core - Standards and Conditions Requirements for the EDW Solution.

<b>Table: 38 - MECT Standards and Conditions Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-314	The Vendor's solution shall support the use of medical code set for coding diseases, signs and symptoms, abnormal findings, and external causes of injuries/diseases, as stipulated in 45 CFR Part 162.1002.
SR-315	The Vendor's solution shall support the Clinical Modification (ICD-10 CM) for diagnosis coding (including the Official ICD-10 CM Guidelines for Coding and Reporting), and, the Procedure Coding System (ICD-10 PCS) for inpatient hospital procedure coding (including the Official ICD-10 PCS Guidelines for Coding and Reporting).

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<b>Table: 38 - MECT Standards and Conditions Requirements</b>	
<b>Req ID</b>	<b>Requirement</b>
SR-316	The Vendor's architecture shall preserve the ability to efficiently, effectively, and appropriately exchange data with other participants in the health and human services enterprise.
SR-317	The Vendor's solution shall support the identification and adoption of transition and retirement plans.
SR-318	The Vendor's solution can be transferred without major system design.
SR-319	The Vendor's design documents shall use a widely supported modeling language (e.g. UML: Unified Modelling Language, Business Process Modeling and Notation (BPMN)).
SR-320	The Vendor's solution shall support open standards between key interfaces have been considered for all and chosen where feasible.
SR-321	The Vendor's solution shall be verified through extensive testing that demonstrates compliance with chosen interface standards and specifications.

**6. Other Project Services**

**a. Data Management Framework Services Requirements**

The Vendor shall provide services to support the data management framework.

**Table: 39 - Data Management Framework Responsibilities** below, indicates the primary vendor responsible for each aspect of the data management framework.

<b>Table: 39 - Data Management Framework Responsibilities</b>	
<b>Data Management Area</b>	<b>Primary Vendor</b>
Goals and Guiding Principles	SEAS
Master Data Management	IS/IP
Data Quality	EDW
Enterprise Metadata Management	EDW
Conceptual/Logical Data Modeling	SEAS
Physical Data Modeling	EDW
Federated Hybrid Model	EDW
Business Intelligence and Reporting	EDW
Data Services and Integration	EDW & IS/IP
Data Conversion	EDW
Data Governance	SEAS
Data Standards	SEAS



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<b>Table: 39 - Data Management Framework Responsibilities</b>	
<b>Data Management Area</b>	<b>Primary Vendor</b>
Common Data Architecture	EDW & IS/IP
Data Sharing Architecture	IS/IP

**b. Application Data Migration to ODS**

The EDW Vendor is responsible for migration of application data in Agency and external systems to use data services that access the Operational Data Store.

**7. Project Artifact Requirements**

This section describes the expected artifacts (e.g. work products) produced by FX Projects performed under this Contract. An artifact is a tangible, standalone output that results from Vendor services. The artifacts listed are defined in the FXPLC. Use of FXPLC/XLC based artifact names and templates allow the Vendor to reuse artifacts from other states and likewise allow other states to reuse artifacts developed under this Contract.

Deliverables are a special type of artifact that are frequently the basis for payment and are often more formal and rigorously reviewed. **Section B.3.F.7.** lists and describes artifacts that are contractual project deliverables.

Vendors are encouraged to propose additions and changes to the artifacts produced by FX Projects performed under this Contract.

**a. System Documentation and User Documentation**

1) Documentation Formatting:

All documentation shall follow Agency standards per **Section B.3.F.8.a. Deliverable Management**, be formatted to be human readable/plain English, and the format shall be approved by the Agency.

2) Vendor Operational Functions:

The Vendor shall create and update system documentation for the operational functions including narratives and flows, user manuals; desk level procedures; and the technical documentation necessary to describe and communicate the solution and services.

As part of the **Training Plan (PD-18: Organizational Change Management Plan)**, the Vendor shall include desk level procedures for maintaining documentation for each functional area, screen layouts, report layouts, and other output definitions, including examples and content definitions. Documentation shall include user manuals, business rules, and all other documentation appropriate to the platform, operating systems, and programming languages.

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- 3) Technical Components:
- a) The Vendor shall provide easy, navigable access to system documentation at the functional-area level, providing comprehensive, searchable documentation in user-friendly, exportable, and printable format which is approved by the Agency. The documentation shall be understandable by users at various skill levels; and provide authorized users with easy, up-to-date system documentation, metadata, policies and procedures, and user documentation related to the data maintained by the Vendor including data, tools, routines, program code, and schemas;
  - b) The Vendor shall include an overview, including system narrative, system flow, and a description of the operating environment, and draft technical documentation;
  - c) As part of **PD-9: System Design Document**, the Vendor shall provide and maintain a current, accessible, searchable, online Data Dictionary which clearly defines fields, field locations, tables, reports, data relationships, and formulas.
  - d) The Vendor shall develop and maintain **PD-9: System Design Document** documentation to include Business Architecture, Business Process, Information Architecture, and Technical Architecture to support MITA Maturity goals;
  - e) As part of **PD-19: Operations and Maintenance Manual**, the Vendor shall include operational procedures, a facsimile or reproduction, and a narrative description of each report, with a definition of all report fields, data source, and any calculations contained within the report for components of the EDW Solution;
  - f) The Vendor shall provide a listing of the edits and audits applied to each input item and the corresponding plain English, non-technical description of the error messages; and
  - g) The Vendor shall update the System Documentation and User Documentation for each EDW system component, in accordance with the **Statewide Medicaid Managed Care (SMMC) Style Guide**, located in the [EDW Procurement Library](#).

**b. List of FX Project Artifacts**

The project artifact list is available in the **Design and Implementation Management Standards**, located in the [EDW Procurement Library](#). The list provides potential artifacts from the FX Project Life Cycle that may be applicable to FX Projects performed under this Contract. In addition to the provided list of project artifacts, the EDW Vendor shall identify, develop, and submit other relevant artifact types as applicable for FX Projects performed under this Contract.

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Note: Deliverables as listed in the **List of Payment Deliverables** are special types of Project artifacts that have payment, financial consequences, and formal review and approval.

#### **8. Deliverable Requirements**

The EDW Vendor shall provide the final draft deliverables for the artifacts as described below and in **Attachment B, Exhibit B-1: Deliverables and Performance Standards**, to the Agency's Contract Manager by the dates indicated. The Agency reserves the right to request modification of the deliverables, as deemed necessary by the Agency, before their approval. Deliverable due dates may be modified, if approved in writing, in advance by the Agency. Additional deliverables may be added by contract amendment if the Agency should determine that such additional deliverables are required to achieve the objectives of the executed contract.

Deliverables are specific outputs the Vendor shall create as part of the EDW Contract and throughout the life of the project. A work product is a report, diagram, or collection of documents used by the Vendor which may or may not become a deliverable. The Vendor shall use work products to help create project deliverables. Additionally, an approved deliverable has payment directly connected to it on its associated invoice; a work product does not. Components for work products shall be determined during the Design and Development phases. Expectations for which life cycle artifacts are required will be determined early in the Project Initiation Phase when the Project Process Agreement is executed.

##### **a. Deliverable Management**

The Vendor shall comply with **FX Deliverable Management Standards** and **FX Technology Standards** for all deliverables. **FX Deliverable Management Standards** are defined in **FX Project Management Standards** document. The **FX Project Management Standards** and **Technology Standards** are located in the [EDW Procurement Library](#).

- 1) To verify effective performance of EDW Project deliverables and to minimize Agency review and Vendor revision times, the Vendor shall perform deliverable management for each deliverable in accordance with **Section B.3.F.7.b.** for each Deliverable and Due Date, and for deliverables produced under task orders as described in **Section B.4.B.**
- 2) The Vendor shall develop and submit a Deliverable Expectation Document (DED), to include the Vendor's proposed format and content, within thirty (30) calendar days of the Agency's approval to commence work on the deliverable. The Vendor shall conduct walk-throughs of the DED with the Agency, unless otherwise directed by the Agency.
- 3) The Agency will establish Agency deliverable review timeframes and Vendor revision timeframes customized for each deliverable. The Vendor revisions shall use the Microsoft Office track changes and comments features, if available in the approved format, and shall use version control numbering of documents and include an amendment history chart in each document.
- 4) In addition to specific deliverable requirements, all deliverables are subject to the following approval criteria:

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- a) The deliverable meets the Agency's requirements for timeliness meaning the deliverable is completed and submitted by the required due date;
  - b) The deliverable meets the Agency's requirement for completeness meaning the deliverable-required components are present in the deliverable; and
  - c) The deliverable meets the Agency's requirement for accuracy, meaning the deliverable conforms to the Agency-approved DED, as applicable, the deliverable functions as expected, and is fit for use. Any deliverable schedule delays, extensions or deliverable rework will be done **at no additional cost to the Agency.**
- 5) The Vendor shall allow time in the deliverable and work product production to conduct thorough internal quality reviews to confirm the deliverable follows Statewide Medicaid Managed Care **(SMMC) Style Guide**, located in the [EDW Procurement Library](#), and meets the criteria for item 4) above.
- 6) The Vendor shall use and maintain the Agency-hosted repository for document management for deliverables and work products/artifacts. The Agency currently uses SharePoint as their documentation repository.

**b. List of Payment Deliverables**

**Figure 6: Payment Deliverables** below, provides the outline for development and management guideline for the project Payment Deliverables.

Artifact and Deliverable Reviews are completed or conducted per the Project Process Agreement. For artifacts and deliverables that evolve through the project life cycle, the exhibit shows the expected version of artifacts and deliverables produced in each phase of the project life cycle:

- Baseline (B) – the locked down version of project management deliverables that is the basis for measuring progress.
- Final (F) – the final version prior to operations and maintenance.
- Interim (I) – incorporates updates to reflect changes that occurred in this and preceding phases of the project life cycle.
- Preliminary (P) – first published version of the deliverable.
- Update (U) – incorporates updates to reflect changes since the last publication of deliverable.
- Update Yearly (Y) – incorporates annual updates to reflect changes.

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**Figure 6: Payment Deliverables**

#	Description	Initiation	Planning	Requirements Analysis	Design	Development	Testing	Implementation	O & M	Disposition
PD-1	Project Management Plan (Includes Vendor Resource Management Plan)		B	U	U	U	U	F	U	
PD-2	Project Schedule	P	B	I	I	I	I	F		
PD-3	High-Level Technical Design			P/F					U	
PD-4	System Security Plan				P	I	F		U	Y
PD-5	Requirements Document			P/F						
PD-6	Bill of Materials		P	I	F				U	Y
PD-7	Technical Infrastructure Plan				P/F					
PD-8	Requirement Traceability Matrix			P	I	I	I	F	U	
PD-9	System Design Document (Architecture Specifications)				P/F					
PD-10	Data Conversion and Migration Plan				P	F				
PD-11	Implementation Plan/Software Release Plan					P	F			
PD-12	Configuration Management and Release Management Plan		P	I	F					
PD-13	Contingency Plan (for Disaster Recovery and Business Continuity)				P	F			U	Y
PD-14	Interface Control Document (ICD)				P/F					
PD-15	Test Plan			P	I	F			U	
PD-16	Environmental Readiness Review (Includes Construction Completion Approval and Report)					P	F			
PD-17	Implementation Readiness Review (Includes System, Security, and Performance Test Completion and Report)						P/F			
PD-18	Organizational Change Management Plan (includes Training Plan)					P	F		U	Y
PD-19	Operations and Maintenance Manual					P	I	F	U	
PD-20	Production Readiness Review						P/F			
PD-21	Post Implementation Report								P/F	
PD-22	Operational Readiness Review (ORR)							P/F		
PD-23	Warranty Completion Report								F	
PD-24	Annual Operational Analysis (AOA)								P/F	Y
PD-25	Vendor Turnover Plan								P/F	

Legend: **P**reliminary; **B**aseline; **I**nterim; **F**inal; **U**date; **Y**early Update.

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**c. Payment Deliverable Requirements – Contract Wide**

Deliverables **PD-1 and PD-2** in **Figure 6: Payment Deliverables** are due no later than sixty (60) calendar days following execution of this Contract.

Deliverables **PD-3 and PD-4** in **Figure 6: Payment Deliverables** are due no later than ninety (90) calendar days following execution of this Contract.

Deliverables **PD-5 thru PD-25** in **Figure 6: Payment Deliverables** shall be developed and delivered according to the Agency approved **PD-2: Project Schedule**.

- 1) PD-1: Project Management Plan (Includes Vendor Resource Management Plan)
  - a) The Vendor shall complete and submit a Project Management Plan (**PD-1**) which contains a comprehensive and practical description of the Vendor's plan for project management and control mechanisms, including staff organizational structure, progress reporting, major decision making, signoff procedures, and internal control procedures. The Project Management Plan shall be in compliance with, and include all the sub-plans as defined in, the **FX Project Management Standards**.
  - b) The Vendor shall develop a Vendor Resource Management Plan as part of (**PD-1**) in accordance with **FX Project Management Standards**. In addition, the Vendor Resource Management Plan shall include the following:
    - (1) Staff organizational chart which identifies staff by name, position title, and staff position;
    - (2) Roles, responsibilities, and authority for staff;
    - (3) Staff acquisition and release dates;
    - (4) Resource calendars;
    - (5) Staff physical location, working hours, and percentage of work time allocated to this Contract;
    - (6) Staff acquisition plan;
    - (7) Plan for identification, tracking and resolution of staffing level deficiencies, and reporting staffing level deficiencies to the Agency;
    - (8) Description of the automated tool used by the Vendor for tracking and reporting staff allocation and hours across task orders;
    - (9) Training requirements; and
    - (10) Regulations, standards, and policy compliance requirements.
  - c) The Vendor shall submit a revised Vendor Resource Management Plan for Agency review and approval within ten (10) business days of revised policies and procedures

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contained within the plan. If additional staff is required, they shall be provided by the Vendor at no additional cost.

- 2) PD-2: Project Schedule
- a) The Vendor shall develop and submit to the Agency an initial Project Schedule during the startup/planning phase and provide weekly updates to the Agency. The initial Project Schedule shall be submitted within ten (10) business days after Contract execution. This schedule shall summarize the steps the Vendor shall take to deploy the project team and include estimates for the preparation and completion of initiation and planning artifacts up to the point the Project Schedule (PD-2) is baselined during the Planning Phase.
- b) The Vendor shall develop and submit to the Agency a Project Schedule (PD-2) which meets the following requirements:
- Indicates a thorough understanding of the scope of work described in the Contract;
  - Complies with the requirements in the FX **Project Management Standards** document located in the [EDW Procurement Library](#);
  - Meets compatibility requirements for current interoperation with Microsoft Project Online Professional or other future project scheduling tool that may be in place by the Agency;
  - Is resource and cost loaded as dollars/hour;
  - Enables calculation of SPI/CPI;
  - Identifies realistic person hours of effort estimated for each task; and
  - Is effort-driven with a critical path.

The Vendor shall coordinate with interdependent projects as specified in the FX Project Management Standards. The Vendor shall maintain and update the Project Schedule on at least a weekly basis or more frequently to reduce risk of missed deadlines and adverse impacts to interdependent projects.

A document listing the assumptions and constraints that were factored into the development of the Project Schedule shall be included when the Project Schedule is submitted to the Agency for approval to baseline. The Schedule Assumptions and Constraints document shall be kept up to date.

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- 3) PD-3: High-Level Technical Design
  - a) The Vendor shall develop and submit a High-Level Technical Design (**PD-3**), which includes an approach to integration related to the scope of work. The Plan shall include the Vendor's design of framework which shall serve as a single point of reference for integration management of modules, systems, and data.
  
- 4) PD-4: System Security Plan (SSP)
  - a) The Vendor shall develop and submit a System Security Plan (**PD-4**), which shall document the current level of security controls within the project which protects the Confidentiality, Integrity, and Availability (CIA) of the system and its information. This SSP is based upon the Centers for Medicare and Medicaid Services (CMS) Acceptable Risk Safeguards (ARS) to assess CIA and NIST Special Publication (SP) 800-53 Rev 4. The SSP shall be a living document which shall be updated no less than annually, and when new vulnerabilities are identified and mitigated, and when additional functionality, components or COTS products are implemented.
  - b) This deliverable includes, at a minimum:
    - (1) Risk Assessment Report;
    - (2) Security Audit Report;
    - (3) Penetration Test Report;
    - (4) Security Clearance/Staffing Controls Policies and Procedures;
    - (5) HIPAA Disclosure Report;
    - (6) Security Controls Test Plan;
    - (7) Security Control Assessments;
    - (8) Security Test Plan; and
    - (9) Security Authorization Package.
  
- 5) PD-5: Requirements Document
  - a) The Vendor shall develop and submit to the Agency a Requirements Document (**PD-5**) which further elaborates the requirements from this solicitation and the detailed requirements solicited during Joint Application Development (JAD) sessions with the FX stakeholders.
  - b) This deliverable includes, at a minimum:
    - (1) JAD Session Documentation



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- 6) PD-6: Bill of Materials (BOM)
  - a) The Vendor shall document and submit the activities performed to Purchase, Install, and Initialize Hardware and Software Configuration BOM (**PD-6**) for the EDW Project.
  - b) The Vendor shall develop the Bill of Materials (BOM) which lists the hardware and software components needed to be purchased for the EDW Project as described in **Table: 7 - Hosting and Environments Requirements**. The BOM shall contain information including the name of the product, the type of the product, quantity, purchase amount, licensing and support, and product Vendor name and contact.
  - c) This deliverable includes, at a minimum:
    - (1) Hardware and Equipment Acquisition and Installation Plan; and
    - (2) Software Acquisition and Installation Plan.
- 7) PD-7: Technical Infrastructure Plan
  - a) The Vendor shall develop and submit a Technical Infrastructure Plan (**PD-7**), which shall document the planned technical infrastructure (hardware, software, networks, data centers, facilities) to support all the components of the EDW Solution. It also includes the plan for tools and utilities that support the hardware and systems software. The plan shall include any local and remote environments including cloud services.
- 8) PD-8: Requirements Traceability Matrix (RTM)
  - a) The Vendor shall document and submit a Requirements Traceability Matrix (**PD-8**) which shall be developed and used in the EDW Project to confirm that the project's scope, requirements, and deliverables remain as originally procured when compared to the baseline.
  - b) This deliverable includes, at a minimum:
    - (1) Requirements Traceability Matrix; and
    - (2) Business Rules Traceability Matrix.
- 9) PD-9: System Design Document (Includes Architecture Specifications)
  - a) The Vendor shall develop and submit a System Design (**PD-9**) in accordance with the **Design and Implementation Management Standards** document, located in the [EDW Procurement Library](#). At a minimum the deliverable shall include a written description of the solution including detailed architectural diagrams, data flows, component specifications and COTS products that provide guidance to the system developers.

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- 10) PD-10: Data Conversion and Migration Plan
  - a) The Vendor shall develop and submit a Data Conversion and Migration Plan (**PD-10**) in accordance with **Table: 13 - Data Conversion** requirements. The plan shall include at a minimum: proposed methodology; roles and responsibilities; tools; data structures; quality controls; security and privacy considerations, testing tools; and schedule for converting data from the source system(s) to the target system(s).
- 11) PD-11: Implementation Plan/Software Release Plan
  - a) The Vendor shall develop and submit an Implementation Plan/Software Release Plan (**PD-11**) to include managing dependencies across releases along with handling technology stacks, databases, and infrastructure to match the roll out needs. The plan shall include stakeholder walkthroughs, method and schedule to deploy the solution, and process for submitting request for Agency's acceptance.
- 12) PD-12: Configuration Management and Release Management Plan
  - a) The Vendor shall develop and submit a Configuration Management and Release Management Plan (**PD-12**) which details the tracking, planning, managing, scheduling, and controlling the implementation of the solution through different stages and environments.
  - b) This deliverable includes, at a minimum:
    - (1) Release Management Plan; and
    - (2) Configuration Management Plan.
- 13) PD-13: Contingency Plan (for Disaster Recovery and Business Continuity)
  - a) The Vendor shall develop and submit a Contingency Plan (**PD-13**) to document the Vendor's approach to cover situations which could interrupt the ability of the Agency to access and/or use the solution for business purposes as described in **Table: 8 - Disaster Recovery and Business Continuity Requirements**. The Agency will review and, provide comments and edits to the Vendor's Contingency Plan during the Initiation Phase.

The Plan shall comply and integrate with the Agency's Enterprise Disaster Recovery and Business Continuity Plan and shall address recovery of business functions, units, processes, human resources, and technology infrastructure; backup strategy and recovery process; communication protocols and process for restoring operations in a timely manner.

The Contingency Plan will be updated and tested at least annually, and the test results and corrective actions will be